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ABSTRACT

This document contains the complete texts of House of Representatives' bills H. R. 11233 and H. R. 10999, proposed bills which would amend the Library Service and Construction Act to expand the purposes listed in the act, extend the period of appropriation, and specifically provide funds to Recording for the Blind, Incorporated. Also included are the transcript of a hearing for the two bills, the complete text of nineteen testimonies and seven prepared statements entered into the evidence. The appendixes contain a study of financial alternatives, a report on future planning, relevant letters, and a statement of the goals of the National Program for Library and Information Services. (EMH)

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LIBRARY SERVICES EXTENSION

ED124215

HEARING

BEFORE THE

SUBCOMMITTEE ON SELECT EDUCATION

OF THE

COMMITTEE ON EDUCATION AND LABOR

HOUSE OF REPRESENTATIVES

NINETY-FOURTH CONGRESS

FIRST SESSION

ON

H.R. 11233

TO AMEND THE LIBRARY SERVICES AND CONSTRUCTION ACT TO EXTEND THE AUTHORIZATIONS OF APPROPRIATIONS CONTAINED IN SUCH ACT, AND FOR OTHER PURPOSES,

AND

H.R. 10999

TO AUTHORIZE THE SECRETARY OF HEALTH, EDUCATION, AND WELFARE TO DISTRIBUTE FUNDS TO RECORDING FOR THE BLIND, INCORPORATED, TO ASSIST SUCH CORPORATION IN CARRYING OUT CERTAIN PROJECTS

HEARING HELD IN WASHINGTON, D.C.
DECEMBER 15, 1975

Printed for the use of the Committee on Education and Labor
CARL D. PERKINS, *Chairman*

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LIBRARY SERVICES EXTENSION

MONDAY, DECEMBER 15, 1975

House of Representatives,
Subcommittee on Select Education
of the Committee on Education and Labor,
Washington, D.C.

The subcommittee met, pursuant to notice, at 9:40 a.m., in Room 2261, Rayburn House Office Building, the Hon. John Brademas (Chairman of the subcommittee), presiding.

Members present: Representatives Brademas, Lehman, Miller, Peyser, and Pressler.

Staff members present: Jack G. Duncan, counsel; Thomas Birch, legislative assistant; Christopher T. Cross, minority legislative associate.

[Text of H.R. 11233 follows:]

[H.R. 11233, 94th Cong., 1st sess.]

A BILL To amend the Library Services and Construction Act to extend the authorizations of appropriations contained in such Act, and for other purposes

Be it enacted by the Senate and House of Representatives of the United States of America in Congress assembled, That (a) section 4(a)(1) of the Library Services and Construction Act (20 U.S.C. 351b(a)(1)), hereinafter in this Act referred to as the "Act", is amended by striking out "and" immediately after "1975," and by inserting immediately before the period at the end thereof the following: ", such sums as may be necessary for the period beginning July 1, 1976, and ending September 30, 1976, $100,000,000 for the fiscal year ending September 30, 1977, $110,000,000 for the fiscal year ending September 30, 1978, $130,000,000 for the fiscal year ending September 30, 1979, and such sums as may be necessary for the fiscal years ending September 30, 1980, and September 30, 1981".

(b) Section 4(a)(2) of the Act (20 U.S.C. 351b(a)(2)) is amended by striking out "and" immediately after "1975," and by inserting immediately before the period at the end thereof the following: ", and such sums as may be necessary for the period beginning July 1, 1976, and ending September 30, 1976, and for the fiscal years ending September 30, 1977, September 30, 1978, September 30, 1979, September 30, 1980, and September 30, 1981".

(c) Section 4(a)(3) of the Act (20 U.S.C. 351b(a)(3)) is amended by striking out "and" immediately after "1975," and by inserting immediately before the period at the end thereof the following: ", such sums as may be necessary for the period begining July 1, 1976, and ending September 30, 1976, $10,000,000 for the fiscal year ending September 30, 1977, $15,000,000 for the fiscal year ending September 30, 1978, $20,000,000 for the fiscal year ending September 30, 1979, and such sums as may be necessary for the fiscal years ending September 30, 1980, and September 30, 1981".

(d) Section 4(a)(4) of the Act (20 U.S.C. 351b(a)(4)) is amended by striking out "and" immediately after "1975," and by inserting immediately before the period at the end thereof the following: ", the period beginning July 1, 1976, and ending September 30, 1976, and the fiscal years ending September 30, 1977, September 30, 1978, September 30, 1979, September 30, 1980, and September 30, 1981".

SEC. 2. (a) The Act (20 U.S.C. 351 et seq.) is amended by inserting immediately after section 7 the following new section:

"ADMINISTRATIVE COSTS

"SEC. 8. The amount expended by any State, from an allotment received under this Act for any fiscal year, for administrative costs in connection with any program or activity carried out by such State under this Act shall be matched by such State from funds other than Federal funds.".

(b) Section 102(b) of the Act (20 U.S.C. 353(b)) is amended by inserting immediately after "Subject to" the following: "the provisions of section 8 and".

Mr. BRADEMAS. The Subcommittee on Select Education will come to order for the purpose of oversight hearings on the operation of the programs authorized under the Library Services and Construction Act and on proposals to extend that act.

The Chair would note that the act expires at the end of the fiscal year 1976, and that the new congressional budget timetable makes it imperative that we begin the renewal process for the Library Services and Construction Act as soon as possible.

The Library Services and Construction Act, which was initially passed in 1964, has been very important in extending library service to special target groups such as the handicapped, the aging, the hospitalized, the bilingual, and the disadvantaged, both rural and urban. The Library Services and Construction Act also emphasizes assistance to metropolitan libraries that serve as regional resource centers, and strengthening State library administrative agencies responsible for coordinating services on a statewide basis. Library Services and Construction Act matching grants have enabled communities throughout the country to build new libraries and remodel outdated ones, and the program also has promoted cooperation among different types of libraries across jurisdictional lines.

The subcommittee is pleased to have with us today representatives from libraries across the country. We are also pleased to have with us Ervin J. Gaines, executive director of the Urban Libraries Council; and Alphonse F. Trezza, Executive Director of the National Commission on Libraries and Information Science.

Finally, we will have a panel representing the Administration.

The Chair would also like to announce that the subcommittee will also hear from witnesses on a proposal, H.R. 10999, which would authorize the Secretary of HEW to distribute funds to the Recording for the Blind, Inc., to assist in carrying out certain projects. This bill has been introduced by Mr. Quie, the ranking minority member of the Education and Labor Committee, and myself, and we look forward to hearing your views on this particular measure.

Let me first welcome the panel representing the American Library Association; Allie Beth Martin, president of the ALA, from Oklahoma; John A. Humphry, assistant commissioner for libraries, New York State Library; Edward Ekman, trustee of the North Kingstown Public Library of Rhode Island; Beth A. Hamilton, executive director of the Illinois Regional Library Council, Chicago; and Barbara E. Markuson, project director of the Cooperative Bibliographic Center for Indiana Libraries in Indianapolis.

We are very pleased to have you with us.

I will be pleased before we hear from the first witness to yield to the gentleman from New York, Mr. Peyser.

Mr. PEYSER. I thank the chairman for yielding, and I briefly want to say that I think it is of great importance not only to have the oversight and reports that we will be receiving from you but also the very definite effort that we will make under the leadership of our chairman, Mr. Brademas, who has been certainly one of the great friends in the library system throughout this country, to not only maintain this type of a program at a time of economic stress, but to do whatever we can to increase and encourage this program. I feel that in these times, everything dealing with education, as libraries do, should be emphasized and not deemphasized. And I think this is a very much bipartisan approach that the chairman and myself have on this, and I merely wanted to state that as a matter of record.

We certainly welcome you here this morning and are anxious to hear your testimony.

Mr. BRADEMAS. Thank you very much.

Ms. Martin.

STATEMENT OF ALLIE BETH MARTIN, PRESIDENT, AMERICAN LIBRARY ASSOCIATION, TULSA, OKLA.; PANEL OF THE AMERICAN LIBRARY ASSOCIATION: JOHN A. HUMPHRY, ASSISTANT COMMISSIONER FOR LIBRARIES, NEW YORK STATE LIBRARY, ALBANY, N.Y.; EDWARD EKMAN, TRUSTEE, NORTH KINGSTOWN PUBLIC LIBRARY, NORTH KINGSTOWN, R.I.; BETH A. HAMILTON, EXECUTIVE DIRECTOR, ILLINOIS REGIONAL LIBRARY COUNCIL, CHICAGO, ILL.; BARBARA E. MARKUSON, PROJECT DIRECTOR, COOPERATIVE BIBLIOGRAPHIC CENTER FOR INDIANA LIBRARIES, INDIANAPOLIS, IND.

Ms. MARTIN. My name is Allie Beth Martin. I am director of the Tulsa City/County Library System, in Tulsa, Okla., and was recently appointed by House Speaker Carl Albert to serve on the Advisory Committee to the White House Conference on Library and Information Services. I am also president of the American Library Association, which I am representing here today.

ALA is a nonprofit, educational organization of over 35,000 members, including librarians, trustees, educators, and library users.

I am here today on behalf of our members to urge your support for extension of the Library Services and Construction Act. But, first, Mr. Chairman, I would like to convey to you our great appreciation for the strong leadership you have demonstrated in support of the White House Conference on Library and Information Services.

This morning my summary will cover three points—the importance and value of LSCA and the accomplishments of the act, amendments being recommended by the American Library Association, and brief comments on the administration's library proposals.

I shall touch lightly on the first point, the importance and the value of LSCA as my colleagues are prepared to address this point, but I do want to say very briefly that LSCA support has enabled libraries to extend and improve services to groups whoses access to libraries has been limited or nonexistent—low income families, bilingual families, the elderly, persons isolated by reason of distance or physical handicap, the institutionalized. If the program should be discontinued, these groups would stand to lose the most.

We have five suggestions for amendments to LSCA which are being recommended by the American Library Association. The first of these relates to the authorization.

The American Library Association urges an extension of the Library Services and Construction Act, to allow time for the findings of the White House Conference to be collected and analyzed before major revision of Federal library legislation is considered. We recommend a 5-year extension, with specific authorization for the first 3 years, and for the remaining 2, such sums as necessary depending upon the findings of the State and National Conferences on Library and Information Services.

While we recommend that authorizations for titles I and II be continued at existing levels, we strongly urge the committee to raise the authorization level for LSCA title III so that over a 3-year period it reaches at least $50 million.

Our second recommendation for an amendment covers incentives for State support of libraries.

The committee may want to give attention to the matching provisions of the act. A strong case can be made, in our opinion, for amending the law to require matching of Federal funds provided under title I by State funds, instead of allowing the local match option now possible.

To allow sufficient time for States without aid programs to establish them, we propose that any State matching requirement be deferred in the legislation until 2 or perhaps 3 years after enactment.

Our third recommendation for an amendment covers State administration.

At present, there is no limit on the amount of LSCA funds the States can use for administrative purposes. A 1974 GAO report to Congress[1] recommended that such a limitation be established as one way of helping to insure that the target groups—such as the handicapped, the bilingual, the disadvantaged—are served in accordance with the purposes of the act. The association also supports this and suggests the committee may want to consider establishing a limit of no more than 10 percent of a State's LSCA title I funds that can be used for State administration and indirect costs.

Our fourth recommendation for an amendment covers advance funding.

The American Library Association further proposes that the extension of the Library Services and Construction Act make explicit the provision for advance or forward funding contained in the General Education Provisions Act to emphasize the urgent need for timely funding of LSCA.

I also want to mention the special needs of urban metropolitan libraries. The central city library systems of major metropolitan areas have special needs that should not be overlooked. Because they are older and larger, they have rich collections lacking in the smaller libraries on their periphery. In addition to serving resident of outlying areas through cooperation with their libraries, the center-city libraries also serve directly many people who neither live nor pay taxes in the central city.

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[1] "Federal Library Support Programs: Progress and Problems," GAO report to Congress, Dec. 30, 1974 (MWD-75-4).

Now, a word about the administration's library proposals. There are two. The first is the Library Partnership Act. We agree with the administration that interlibrary cooperative activities are worthy of Federal support and encouragement, but we strongly disagree that this should be done by inaugurating a new program with all funding decisions retained at the Federal level.

The other proposal of the administration is that general revenue sharing is a substitute for LSCA. Some libraries have been benefited from that program. In many cases, general revenue sharing is not stimulating new services to unserved groups such as the handicapped or bilingual—both priorities of LSCA. It is instead providing the kind of general operating support that had in prior years been provided by the local government.

In conclusion, we believe that extension of the Library Services and Construction Act is the most realistic way at this time to assist the States and localities in extending library services and facilities to the unserved, to promote interlibrary cooperation and improved service to all Americans.

We will be glad to provide further information and answer any questions which you may have. Mr. Chairman, I don't know whether you wish to ask questions now, or should I defer now to Mr. Humphry?

Mr. BRADEMAS. I think it would be helpful, if you have no objection, if we heard from all of you and then we can put questions to you.

Ms. MARTIN. Fine.

[The prepared statement of Ms. Allie Beth Martin follows:]

PREPARED STATEMENT OF ALLIE BETH MARTIN, PRESIDENT, AMERICAN LIBRARY ASSOCIATION

My name is Allie Beth Martin. I am director of the Tulsa City/County Library System, in Tulsa, Oklahoma, and was recently appointed by House Speaker Carl Albert to serve on the Advisory Committee to the White House Conference on Library and Information Services. I am also president of the American Library Association, which I am representing here today.

The American Library Association was founded in 1876, the 100th anniversary of the founding of the United States of America. Next year the United States will be celebrating its 200th birthday, and the American Library Association will mark its 100th year.

ALA is a nonprofit educational organization of over 35,000 members, including librarians, trustees, educators, and library users. A major and far-reaching objective of the Association is the development and improvement of library and information services and resources for all the people of the United States in order to increase their opportunity to participate in society, to learn to achieve self-fulfillment, to pursue careers, and to obtain information needed for research.

I am here today on behalf of our members to urge your support for extension of the Library Services and Construction Act. But, first, Mr. Chairman, I would like to convey to you our great appreciation for the strong leadership you have demonstrated in support of the White House Conference on Library and Information Services, authorized by PL 93-568 to take place no later than 1978.

We are disappointed that President Ford, one of the early sponsors of the White House Conference legislation when he was House Minority Leader, has not yet made his appointments to the White House Conference Advisory Committee, nor submitted his budget request to Congress. We are hopeful that the Administration will take this action soon, so that the states can begin their own coordinated planning for state conferences culminating in the national conference in

1978. It is our firm conviction, Mr. Chairman, that through the White House Conference process, the states and localities as well as the federal government will accomplish at very low cost the kind of major reassessment of library services that is badly needed today.

Library service to the American people has greatly improved in recent years, Mr. Chairman, due to a great extent to the Library Services and Construction Act. Nevertheless, in many areas high quality service continues to be the exception rather than the rule. Inequities in public library finance at the state and local level have by and large persisted, although some states have developed state assistance programs that include a form of equalization.

Thanks in large part to the efforts of the National Commission on Libraries and Information Science, which has been diligently working to develop a national plan for improved library and information service, considerable discussion has arisen recently in the library and information community as to how the roles of federal, state, and local governments might be redefined to provide better library service to all. The White House Conference and the preceding state conferences will serve to bring this discussion to a broad spectrum of the American people, the users and potential users of libraries. It is the views of the American people themselves, not the library and information community, that must be sought now, and the White House Conference will provide just the vehicle to accomplish this goal.

Then, Mr. Chairman, with the benefit of the work of the National Commission on Libraries and Information Science on the one hand, and the findings of the White House Conference on the other, not only the federal government, but state legislatures and local governing officials as well will be in a far better position than we find ourselves today to design new library legislation for the 1980s and beyond.

But until the findings from the state conferences and the White House Conference are in, until we have the kind of nationwide data the conferences will produce on library and information service gaps and needs, the American Library Association believes it would be counterproductive as well as premature to enact a new piece of library legislation, such as the Administration recommends in its wholly discretionary library partnership proposal.

We would urge you to extend the Library Services and Construction Act to allow the White House Conference process to run its course, and to allow sufficient time for wrapup and preparation of final reports. Then, based upon the conference findings plus the work of the National Commission, it would be appropriate to consider a substantial revision of LSCA, or development of new legislation if warranted, in the early 1980s.

We would, however, suggest a number of amendments that might be made now to the present Act, to tighten up the administration of the program, and to provide stronger incentives to the states to strengthen their own programs of assistance to local libraries.

This statement is divided into three sections: The first is concerned with the need for LSCA and the contributions this small but vitally important federal program is making. The second suggests a number of changes that might be made now in LSCA to make the program more effective in achieving its all-important objective of promoting the further development of public library services and extending them to persons without adequate service. And the third section comments upon the Administration's library partnership proposal.

First, I would like to discuss some of the accomplishments of the Library Services and Construction Act, and to point out why the program is badly needed today, and must be continued.

I. ACCOMPLISHMENTS OF LSCA

Library services (LSCA titles I and IV)

[LSCA support has enabled libraries to extend and improve services to groups whose access to libraries has been limited or nonexistent—low income families, bilingual families, the elderly, persons isolated by reason of distance or physical handicap, the institutionalized. If the program should be discontinued, these groups would stand to lose the most.]

In localities with high concentrations of low income families, the property tax base does not provide enough revenue to support quality library service. And with basic costs—prices of books and periodicals, postage, electricity and heating fuel—spiralling upward, it becomes increasingly difficult for libraries to extend services to those not served or not served adequately. Indeed, many libraries are finding it difficult to maintain the level of service they have been providing. Yet even under such conditions, LSCA has helped the states and localities to find a way to provide new service to groups requiring it. In short, LSCA funds have provided and continue to provide the incentive for libraries in all parts of the country to serve the unserved.

For example, in my state, Oklahoma, LSCA money in 1973 and 1974 was used, in part, to fund a multi-county demonstration project in the southwestern part of the state. This project brought library services to Harmon and Jackson counties—counties which had never before had library services. The citizens of these two counties found the services so valuable that when the demonstration project funds were withdrawn last year they did not wait for the state to pick up the funding; they voted a 2-mill library tax on themselves to keep the library going.

One way in which libraries have extended their services to those unable to come to the library in recent years is through books by mail programs. In a typical program, the library mails out a catalog highlighting titles in its collection (or listing a paperback collection assembled for the purpose) to target groups. Families or individuals can then borrow and renew or return books entirely by mail and without any expense to themselves.

The Report of the 1973 Conference on Books by Mail Service[1] indicates that rural books-by-mail programs are reaching from 10 to over 50 percent of rural population hitherto unserved by any of the standard public library services in the local area. Urban or metropolitan books by mail programs are the main source of books for a growing segment of those homebound, institution bound, and the elderly, and reach from 4 to 6 percent of the total population in the local urban area. The circulation cost of such programs seems to be comparable to branch or bookmobile circulation, although whether books by mail remains a viable alternative depends partially on the extent of the rise in postal rates. The library postal rate is now scheduled to rise over 300 percent according to the latest rate change requested by the Postal Service.

The North Central Regional Library in Wenatchee, Washington, began a books-by-mail program to serve low-density rural populations spread over a wide geographical area. The service proved to be extremely popular, growing at a rate of from 30 to 50 percent each year.

It accounts for over 10 percent of the total library circulation. At the termination of the LSCA funds that had been supporting it, the Library Board decided to keep the Mail Order Program, finding that it turned out to be quite competitive with other alternatives in terms of cost and more advantageous in terms of achieving the objective of equalizing library service. For this library, the main strength of the program lies in the fact that it does not require the concentration of population in a locality that bookmobile or branch service would require.

In New York, the Wyoming County Library, after having extended its books-by-mail service to the inmates of the Attica Correctional Facility for over a year, received word in June, 1973, that they would receive $5,000 to make the library staff, catalog, and book collection more fully available to the residents of Attica. The $5,000 was part of a larger $20,000 grant being made to Attica under LSCA to support a project providing paperback books for the reading interests of prison inmates. $10,000 of the grant was used to buy paperback books to place in cellblock libraries. $5,000 went to a professor of library science at SUNY, Geneseo, to train six inmates in library duties and to select the books for paperback collection.

We were disappointed that Title IV of LSCA, Older Readers Services, has never been funded since it was enacted in 1973. However, we are pleased that some services to the elderly have been carried out under Title I, including projects in California, Missouri, and Wisconsin. In 1974–75 LSCA grants in California included $38,660 to the Inland Library System for its ORIFLAMME service to the aged project, and $30,000 to the San Joaquin Valley Library System's program for the handicapped and aged. Much more could be done along these lines if there were additional funding.

An example of the variety of outreach services aided by LSCA funds is provided by the state of California. Highlights among 1975–76 grants include

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[1] Books by Mail Service: A Conference Report, June 23, 1973, Las Vegas, Nev. Sponsored by Council on Library Resources and Indiana State University, Dept. of Library Science. Ed. by Choca H. Kim, pub. by Indiana State University, Sept. 1973.

$290,287 to the Oakland Public Library for development of bilingual library service to the Asian community; $137,000 to the San Joaquin Valley Library System to establish library service to 15 correctional institutions in four counties; $127,537 to the San Jose Public Library for purchase of Spanish language materials and demonstration of bicultural service in both branch libraries and community centers; $77,111 to the Sonoma State Hospital resident library and mobile unit, including service to assist released patients in the community; and $107,[illegible]10 to the Metropolitan Cooperative Library System, Los Angeles County, for special services to an estimated 55,000 deaf and hearing impaired residents.

These examples serve to illustrate how effectively the Library Services and Construction Act has aided libraries to serve those not served adequately or not reached at all. This has been accomplished by the careful use of seed money in the form of project grants to demonstrate new methods of library service, to allow libraries to work cooperatively across jurisdictional boundaries, and to improve service to the disadvantaged or previously unserved.

LSCA also serves to effectively supplement and complement other Federal programs. An example is library service to the blind, spearheaded by the Library of Congress. When the "Act to Provide Books for the Adult Blind" was passed in 1931, and 18 institutions were designated as regional libraries to serve the blind of the nation, the libraries were to be locally supported, with their talking book machines and a major portion of their talking books and braille books coming from the Library of Congress.

This program continues today, with the Library of Congress providing the materials to designated regional libraries at the state level, and to subregional libraries at the local level. The state and local libraries use their own funds and some assistance from LSCA to house the materials and provide support services and staff to make them available to the blind and physically handicapped. There are now 54 regional libraries at the state level, and about 150 subregional libraries, usually municipal public libraries. It is an effective program and an excellent model of local, state, and federal sharing.

Title I priorities, in addition to service to the disadvantaged, the bilingual, the elderly, the handicapped, and others who have no access to library service, include aiding metropolitan libraries and strengthening State Library Agencies. Urban libraries have special problems today arising out of the massive problems of large cities—the problems of diversity of population, of taxation and funding, of urban crowding—as well as increased demands on their resources and services by users outside their boundaries. LSCA funds have helped to strengthen the capacity of metropolitan libraries to make their resources more accessible on a national or regional basis, and have aided special projects to implement national priorities in such areas as Right to Read, career and vocational education, drug abuse and environmental education.

The stimulation of federal funds has also helped to develop statewide library programs, operated by the State Library Agencies, the governmental units responsible for providing leadership in library development throughout the state. Projects initiated include statewide and multi-county regional system development, statewide and regional film circuits and books-by-mail service, interlibrary cooperation and centralized processing centers, and in-service training programs.

In Vermont, for instance, the Department of Libraries' Reference Services Unit, with its Access Office branch at the University of Vermont, serves as a referral center for questions which cannot be answered at the local level. The Unit also operates as a switching center for the Vermont Library Teletype Network, providing rapid response to requests for locations of materials listed in the Vermont Union Catalog. This results in much improved, cost effective sharing of library materials by all libraries and library users.

Extension of authorization for Title I of LSCA is urgently needed to help libraries respond to those groups outside the mainstream of society who are articulating their needs as never before, to meet the people's need for accurate and timely information in a complex society, and to enable libraries to pool resources as the only way of ensuring that larger numbers of people have access to the growing number of publications in a time of rising costs and limited funding.

Library construction (LSCA title II)

As you know, title II of the LSCA was last funded in fiscal year 1973, and the entire $15 million appropriation was impounded by the Administration until the middle of fiscal year 1974 when it was released pursuant to court action brought by the States. These funds were rapidly obligated, and because further title II appropriations were not made, a backlog of public library construction and remodeling projects has developed.

Last Spring the ALA surveyed the states to learn how many public library construction projects would be ready to go—that is, with the necessary matching funds available—if title II were funded in 1975. We were told that at least 743 library construction projects could be carried out, one-third ready to begin by July 1, another third by January 1, 1976, and the remainder by July 1, 1976. Attached to this statement is a state-by-state list of public library projects on which construction could begin if Federal matching funds were forthcoming.

In addition to projects for which matching funds are available, states have identified another 766 public library construction projects that are badly needed but are in communities that cannot generate the local matching funds required for participation in a program like title II.

The need for public library construction is spread throughout the country, as the attached list shows, and the employment effects of meeting those needs would consequently be felt throughout the economy. I want to point out also that many of these projects are not for wholly new construction but proposed remodeling or modernization of existing structures. Many libraries are trying to provide services through smaller neighborhood branches. Many libraries need to alter their facilities to permit their use by the physically handicapped. Requirements of the occupational safety-health standards must be taken into consideration. In some places, libraries are faced with a need to convert their heating equipment in an effort to comply with local limitations on sources of energy and to hold down their operating costs.

We are convinced from the data we have collected, that this libary construction program is badly needed and must be continued.

Interlibrary cooperation (LSCA title III)

Title III is a highly significant federal program that encourages cooperation among all types of libraries irrespective of jurisdictional lines.

We find it difficult to understand how the Administration could recommend termination of this program which provides incentive for the states to develop projects that link all types of libraries together enabling them to coordinate their resources and services, when the same Administration at the same time proposes a Library Partnership Act for interlibrary cooperation. The Administration would substitute a dubious unknown quantity for a program that has won acclaim from all states.

LSCA title III has been a popular and successful program, although severely underfunded from the start. Notwithstanding the relatively small amount of title III funds allotted to each state and the uncertainty that has attended provision of the funds in recent years, the states are making significant improvements and economies in their services through the title III program.

In Pennsylvania, for example, materials are exchanged through a van delivery system that connects 150 libraries across the state. The academic and public libraries list each book they purchase in a central computer file so that any cooperating library can instantly determine which other libraries own a specific book requested by a reader. A catalog of the holdings of over 100 Pennsylvania libraries is being placed on microfilm, and copies will be placed at several locations throughout the state so that these books may be borrowed on an interlibrary loan basis.

Kansas has used Title III funds to start and operate an interlibrary loan system that includes college, junior college, high school and public libraries. Any patron of any of these libraries has access to the materials in any other library in the system. This has given libraries the opportunity to enlarge their collections since they do not have to purchase seldom-requested esoteric titles which are available at participating libraries. Cooperative endeavors such as this would not have been possible without the availability of Title III funds to encourage and assist development of the new system.

California has used a Title III grant to set up a Cooperative Information Network with the purpose of responding as totally as possible to the informational needs of individuals, government units, and businesses located within Santa Clara County. Participants in the network from the beginning included the libraries of three universities (Stanford, Santa Clara, and San Jose State), eight sizable public libraries, five burgeoning community colleges, scores of school and media libraries, plus the vast scientific collections of special libraries. More libraries joined later.

The participating libraries are linked together by teletype equipment for rapid interlibrary communication. This enables the library parton to have access to the resources of the entire network, just by visiting his own local library. LSCA Title III has been instrumental in stimulating state and regional network development in all parts of the country.

Increasingly, libraries are interconnected through teletype equipment such as the TWX service provided by Western Union. In addition to the library network in Santa Clara County just described, another example is KENCLIP, the Kentucky Cooperative Library Information Project. Recent rate increases proposed by Western Union last summer and subsequently approved by the Federal Communications Commission have raised KENCLIP's costs by about $2,704 annually. In California alone, there were about 400 TWX machines installed in libraries in 1972. The Mountain Valley Library System is perhaps typical. Four TWX installations constitute the system—one in Sacramento, one at the California State University in Sacramento, one at the University of California at Davis and one at the Mono County Library. The previous monthly charge was $334 and the new monthly charge is $431.

Rate increases such as these jeopardize network development, particularly in rural areas, for the new rate structure for TWX places additional costs on rural communities by means of remote extension charge. In Vermont, for example, the State Librarian has informed us that the increased cost of TWX beginning September 1, 1975 results in an addition of about $1,730 to the annual TWX bill for five library installations located throughout the state. More than half of this amount, or $900, represents the new remote extension charge for areas outside designated cities, the remainder being increased access costs.

The New Mexico State Library with assistance from LSCA Title III has developed a network of resource sharing among 12 public libraries and 17 academic libraries located throughout the state and interconnected by means of TWX. "This communications network has been especially meaningful in a state such as New Mexico which is hindered by long distances and limited information resources," the State Librarian reports. It provides a primary source of information for citizens in rural areas. With the recent inauguration by Western Union of the new remote extension charge, the State Librarian estimates an additional cost to New Mexico libraries of some $4,674 annually.

Under Title III, LSCA money is used to foster interlibrary cooperation, even across state lines. In southeast Louisiana, not far from my home, five public libraries, eight academic libraries and three special libraries have formed a cooperative library network for the New Orleans area. A farmer in a rural area 30 miles from New Orleans was having trouble with his cattle. They were afflicted with anaplasmosis. He did not know what to do. Through the cooperative library network he was able to get technical journals at his local library from the Louisiana State University Medical School library. His cattle pulled through.

The State Librarian of Ohio has told us that, thanks to Title III funds, patrons of the library in McArthur, an Appalachian community of less than 10,000, were able to borrow books from the Ohio State University Library, from the Akron Public Library and even from the Library of Harvard University. Here is a local public library with an annual budget of $12,660 giving service of this kind to its patrons, and this is made possible by Title III.

We are sometimes asked why federal funds should be provided for the interlibrary projects supported under Title III. There are several reasons. Many of these networks of cooperating libraries reach across state boundaries as, for example, in metropolitan areas located in more than one state. The federal funds also stimulate and support the less-advanced library systems in their efforts to provide better service. Often Title III projects demonstrate the benefits of public library service, and the local people subsequently vote to tax themselves for its continuation. We have seen this happen many times, in state after state.

LSCA Title III is an important federal program, encouraging cooperative efforts across jurisdictional lines. As library networks are developed, duplication of effort can be reduced and the use of all libraries expanded. It is essential that this Title be extended, and that it be more adequately funded in the future, to help states meet the increased costs of networking.

Evaluation of LSCA

The evaluative studies arranged by the Office of Education pursuant to the mandate of Congress confirm the essential stimulus and support for public library services that have been provided through the LSCA. The report of the Systems Development Corporation in 1973, for one, stated:

LSCA funds have been a critical factor in projects for special clienteles, and they have provided the bulk of the funds used for innovative projects: without LSCA (or a real substitute) there would be little or no innovation—in short, a rather static, even moribund public library in the U.S.

Another report by the same contractor reported to the Office of Education in 1974 that:

The Federal Government has played a role in recent years of helping the public library to organize into systems and to provide services to segments of the population who were previously unserved. While there are indications that Federal programs suffered from insufficient coordination, insufficient evaluation, and inadequate funding, there is much evidence to demonstrate that a strong impetus toward system organization and the availability of services to special clienteles was provided by federal intervention.

These finding are confirmed by the reports reaching us from State and local library officials and organizations. Consequently we strongly disagree with the conclusions reached by the Administration that LSCA has outlived its usefulness and should be terminated.

II. AMENDMENTS TO LSCA RECOMMENDED BY ALA

Authorization

The American Library Association urges an extension of the Library Services and Construction Act, to allow time for the findings of the White House Conference to be collected and analyzed before major revision of federal library legislation is considered. We recommend a five-year extension, with specific authorization for the first three years, and for the remaining two, such sums as necessary depending upon the findings of the state and national conferences on library and information services.

While we recommend that authorizations for Title I and II be continued at existing levels, we strongly urge the Committee to raise the authorization level for LSCA Title III so that over a three-year period it reaches at least $50 million. The states have laid the groundwork for highly successful interlibrary cooperative projects with assistance from Title III, but the program must be more adequately funded in future years, so that interlibrary cooperation and network development utilizing and expanding the use of school, public, academic, and special library resources will truly achieve its potential of greatly improved library service to all.

We anticipate that by 1978 the states will have concluded their conferences in advance of the White House Conference on Library and Information Services. Then, the states will have a more timely and accurate assessment of their needs for library services and of the resources available to meet those needs. Accordingly, we urge a specific authorization for three years and open-ended sums as necessary for the next two.

Incentives for State support of libraries

We believe LSCA to be sound legislation. It has stimulated state and local library support while providing for innovation and attention to national concerns. Every federal dollar spent for LSCA Titles I and II is matched by the states or localities. "Thanks to the federal library services and construction program," says a recent report to the National Commission on Libraries and Information Science, "the states, without exception, now have the organizational structure—and in many instances the leadership—to guide the development of library services."

And yet, the same report also points out that a significant increase in library funding must come from the states. "Just as there is geographic interstate diversity in the ability to finance public services, there are inter-regional diversities within states . . . this is as applicable to library services as it is to the financing of schools. These intrastate service inequalities can be handled much more readily when the funding is done on an areawide rather than on a local basis. When the state picks up a substantial portion—say 50 percent—of the funding, it has an opportunity to equalize the resources among local library systems."[2]

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[2] "Alternatives for Financing the Public Library," a study prepared for the National Commission on Libraries and Information Science, U.S. Government Printing Office, May 1974.

For this reason, the Committee may want to give attention to the matching provisions of the Act. A strong case can be made, in our opinion, for amending the law to require matching of federal funds provided under Title I by state funds, instead of allowing the local match option now possible. Requiring state matching would serve to strengthen state programs of library support. The Committee may be interested to know that the following states provide no grants-in-aid to their local public libraries: Indiana, Montana, North Dakota, Oregon, South Dakota, Utah, Vermont, Washington, Wyoming. We believe that a requirement of state matching may prove persuasive in those states.

To allow sufficient time for states without aid programs to establish them, we propose that any state matching requirement be deferred in the legislation until two or perhaps three years after enactment. This would give the state legislatures time as well as an incentive to take action, and the state legislative action would also have the benefit of the facts and findings of the state conferences on library and information services.

We do not propose a state matching requirement for Title II of the LSCA dealing with construction projects. These are primarily of local significance and should receive strong local support. By the same token, however, we believe that a state matching requirement for Title III may well be justified. Currently, as you know, Title III has no matching provision. Title III programs of support for cooperative networks for the sharing of resources by school, public, academic and special libraries would seem to be particularly appropriate for state matching.

State administration

At present, there is no limit on the amount of LSCA funds the states can use for administrative purposes. A 1974 GAO report to Congress[3] recommended that such a limitation be established as one way of helping to insure that the target groups (such as the handicapped, the bilingual, the disadvantaged) are served in accordance with the purposes of the Act. HEW, in appendix II of this report, concurs in the recommendation that such a limitation be established on administration. The Association also supports this, and suggests the Committee may want to consider establishing a limit of no more than 10 percent of a state's LSCA Title I funds that can be used for state administration and indirect costs.

HEW did not concur with another GAO recommendation that a limitation be placed also on statewide services. We heartily agree with HEW on this point, for we feel that a dollar or percentage limitation on statewide services would defeat the purposes of the Act in many cases. In rural states, particularly, the most efficient type of library service may be that provided by the state library agency to many communities far too small to support their own library service. In New Mexico, for example, bookmobiles are run by the state agency to many sparsely settled areas that would otherwise have no access whatever to library service. In Vermont, the state library agency runs a very successful books-by-mail service, which provides library access to persons in rural sections of the state. Programs such as these are badly needed and would be disastrously curtailed if a limitation were to be placed on statewide services.

In considering a limit on the amount of Title I funds that can be retained at the state level for adminisration, therefore, we urge the Committee to make a distinction between administration and indirect costs on one hand and statewide services on the other. The limitation should be upon the former, most definitely not upon the latter.

Advance funding

[The American Library Association further proposes that the extension of the Library Services and Construction Act make explicit the provision for advance or forward funding contained in the General Education Provisions Act to emphasize the urgent need for timely funding of LSCA.] Ideally, the new congressional budget procedures will obviate the need for advance funding, but that has not been the experience thus far, because of the authority given to the Administration for proposing rescissions and deferrals.

Last year the states did not receive their allocations under the LSCA until April, or two months before the close of the fiscal year. This year states were not advised of their allocations until November, or four months after the start of the fiscal year. As a result, services were curtailed, projects were interrupted, and plans for the most effective use of library dollars were necessarily made piecemeal.

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[3] "Federal Library Support Programs: Progress and Problems," GAO report to Congress, Dec. 30, 1974 (MWD-75-4).

To illustrate, we received reports from the following states, among others:

Indiana—Delayed enactment of federal appropriations and impoundment or deferral of appropriated funds have had the following effects among others in Indiana: (a) a minimum of new projects have been funded; (b) even though there have been several requests for funds for bookmobile demonstrations in counties without service, these have had to be turned down due to the uncertainty of funds (c) funds budgeted for state institutional library services have remained at the previous year's level even though book and equipment costs have increased.

California—A project cannot be sustained when the federal fund flow is interrupted causing years of pre-planning to be wasted, staff redirected to other areas of need. When federal funds are withheld, even for a short period, the effect is disastrous in light of the percentage of public funds wasted because of the shut-down and start-up of a project.

New York—Projects are dropped or delayed. State planning is impossible. Staff is laid off, and those that remain are plagued with uncertainties. Chaos is created generally. We desperately need assurance of advance funding for the best and most effective use of federal funds.

Pennsylvania—Delayed funding seriously jeopardizes significant progress made throughout the state in such areas as statewide delivery services, automated cataloging systems, film services, and library development advisory services. Impoundment makes long-range planning impossible. It raises the expectations of the community and ultimately the library user-only to let them down which further erodes their confidence in government.

Iowa—Delayed appropriations and impoundment have created many problems in the administration of federal programs. Libraries lacking the resources to continue LSCA-assisted programs on their own budget prematurely, are forced to close what might have been a very successful service program. Delivery systems to the handicapped, aging, and isolated, suffer the greatest damage due to increased fuel costs, and the lack of stability in funding.

Wisconsin—Delayed availability of appropriations interferes most seriously with the joint state/local planning for LSCA projects. This is particularly characteristic for communities where the local share of project funding is difficult to obtain.

To avoid these problems we urge the Committee to include an advance funding authorization in LSCA.

Special needs of urban/metropoltan libraries

[The central city library systems of major metropolitan areas have special needs that should not be overlooked. Because they are older and larger, they have rich collections lacking in the smaller libraries on their periphery.] Indeed, the large urban library is typically at the center of a cooperative network of libraries where these have been developed. [In addition to serving residents of outlying areas through cooperation with their libraries, the center city libraries also serve directly many people who neither live nor pay taxes in the central city.]

Few if any of the large urban libraries continuously record the extent of this kind of service but many have made statistical studies from time to time. From these studies, we learn, for example, that 38 percent of the users of the Detroit Public Library were nonresidents. The corresponding figure for Baltimore is 20 percent and for San Francisco about 13 percent. We believe that these figures and others that will be presented to the Committee in the course of these hearings will buttress the case for continued Federal support for public library services, as well as the case for increased State support.

We have proposed that a imitation be placed on LSCA Title I funds retained at the state level for administration and indirect costs. This, we believe, will allow more of the Title I funds to go to metropolitan public libraries which are one of the Title I priorities. In addition, we have propose that LSCA be amended to require state appropriations to match the state's allocation under LSCA Titles I and III. Such a requirement will result in more realistic state support of state library agency services including those to public libraries, and increased state grants-in-aid which can be used in conjunction with LSCA funds to assist local libraries.

Some of our nation's greatest city libraries are facing severe crisis today, not only in New York City, but in other urban areas as well. The economic crisis has had severe impact on urban public libraries. Mayor Paul Jordan of Jersey City has been quoted as saying "We may become the first major city in the nation with no library system as a result of our money problems." The Brooklyn Public Library has been forced to develop a plan to pare down its branch service. Employees are being discharged and vacancies not filled. Similar problems are being faced by the libraries in San Franciso and Los Angeles, Chicago and Detorit, to name just a few.

Additional funding of LSCA Title I is urgently needed to help the great city libraries in this time of crisis. As the director of the Detroit Public Library, Mrs. Clara Jones, recently said: "America leads the world in library organization. The best-organized libraries are in this country. This is where the record of our civilization is kept and, fortunately, ours is not an elitist library tradition."

The American tradition of public libraries readily accessible to the people, is indeed a great tradition, an essential element of our nation's democratic heritage. It would be a tragedy, in our national bicentennial year, if major public libraries are allowed for lack of funds to deteriorate beyond repair. The taxpayers of Cleveland have recently voted an operating levy which significantly increases operating funds for the Cleveland Public Library. But in today's economic climate, increased local support for lilbraries in urban areas is rare. Additional funding for such libraries is needed from the states, from LSCA, and perhaps most important, from other federal programs designed to offset the effects of an emergency economic crisis such as we are facing in America today.

III. THE ADMINISTRATION'S LIBRARY PROPOSALS

Library Partnership Act

In 1974, President Nixon proposed a new initiative for libraries—a Library Partnership Act, which would encourage exemplary and innovative developments in the provision of library and information services. Introduced during the 93rd Congress for discussion purposes by Sen. Jacob Javits (S. 3944), the bill saw no action and virtually no support last year, and has not been reintroduced this year although HEW again sent the draft to Congress in March 1975.

The goals of the proposed partnership act are similar in many ways to those of the existing library and information science demonstration program authorized by title II-B of the Higher Education Act. Both the partnership act and HEA II-B are discretionary, and both are focused on demonstrations to encourage exemplary and innovative developments in the provision of library and information services. Because of this similarity, the American Library Association has recommended to the House Subcommittee on Postsecondary Education now considering HEA amendments, that these demonstration aspects of the Library Partnership Act be incorporated within HEA Title II-B.

We note also that the Library Partnership Act would authorize some interlibrary cooperative projects, similar to those authorized by Title III of LSCA. There is a major difference, however, in that decision-making occurs at the state/local level under LSCA, a state formula grant program, but the Administration's partnership proposal would return decision-making to Washington, at the discretion of the Commissioner of Education. We would like to note for the record our strong support for the state and local determination encouraged by LSCA Title III.

We agree with the Administration that interlibrary cooperative activities are worthy of federal support and encouragement, but we strongly disagree that this should be done by inaugurating a new program with all funding decisions retained at the federal level. The states are planning for their own intrastate and interstate library cooperative networks, with assistance from LSCA Title III. It simply makes no sense whatever to abandon this kind of state support for interlibrary cooperation and move instead to a more fragmented discretionary approach centered in the U.S. Office of Education.

It is our recommendation, therefore, that the Committee continue and increase the authorization for LSCA Title III, which we believe will serve far more successfully to advance the aim of strengthening interlibrary cooperation among all types of libraries.

General revenue sharing as a substitute for LSCA

Since 1973, when then-President Nixon first articulated a new federal library policy—that of terminating the Library Services and Construction Act—this philosophy has been repeated annually in the President's budget, first President Nixon's then President Ford's. Library service is essentially a state and local responsibility, these two Administrations have said, and "with the increasing availability of general revenue sharing funds, states and localities will be able to continue the most promising projects and programs formerly supported by federal categorical assistance."

In this connection, the U.S. Office of Education informed the Senate Appropriations Committee last spring that some $82 million in general revenue sharing had been devoted to library purposes in fiscal year 1974 alone. These figures were provided by the U.S. Office of Revenue Sharing.

We cannot dispute such statistics, nor are we able to confirm them with our own surveys. We do, however, question their meaning, for we know that a great gap exists between what is reported on the Office of Revenue Sharing's data collection forms and what eventually happens at the state or local level. We recently learned from the California State Library, for example, that one county library is being required to return all of its general revenue sharing ($400,000) with the statement that it was a loan. Two city libraries have had to return portions of theirs ($285,000 and $116,000).

The greater problem with respect to general revenue sharing as a source of library support, however, is that local governmental units tend to budget expenditures from commingled resources, that is, combining their resources from all sources (property taxes, sales taxes, fines and service charges, licenses and permits, general revenue sharing, etc.), they then make allocations to a variety of budget expenditure categories, one of which may be libraries.

In response to the Administrations' contention that general revenue sharing support for libraries indicates LSCA is outmoded and no longer needed, we would refer them to a recent report to Congress from the Comptroller General[6] which notes that the interchangeable nature of money can nullify the meaning of a report which relates specific expenditures to a specific source of revenue, such as revenue sharing.

Many of the state library administrative agencies have kept statistics on the amount of revenue sharing libraries throughout the state have received. Some libraries have benefited from the program. The Tulsa City/County Library System, which I direct, has indeed been fortunate in this regard. Many more libraries, however, have not benefited from the program. Increasingly we are finding that libraries receiving general revenue sharing are in fact receiving no more than they previously received from state or local sources. In many cases, general revenue sharing is not stimulating new services to unserved groups such as the handicapped or bilingual—both priorities of LSCA. It is instead providing the kind of general operating support that had in prior years been provided by the local government.

In short, although general revenue sharing has benefited some libraries both in establishing new programs and in the construction of new facilities, there is great disparity in library development fostered by this federal program. Libraries in some communities are strengthened by general revenue sharing, but libraries in many others are totally ignored by general revenue sharing. The Library Services and Construction Act is a coordinated program for statewide and interstate development of library service. It is a valuable program that must be continued.

CONCLUSION

We believe that extension of the Library Services and Construction Act is the most realistic way at this time to assist the states and localities in extending library services and facilities to the unserved, to promote interlibrary cooperation and improved service to all Americans. We look forward to obtaining a much more accurate picture of the nation's library needs and resources as a result of the White House Conference on Library and Information Services. Thank you for your attentive interest, and for the opportunity to present testimony on behalf of the American Library Association. I will be glad to provide further information or answer any questions you might have.

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[6] "Revenue Sharing: An Opportunity for Improved Public Awareness of State and Local Government Operations," Report to the Congress by the Comptroller General of the United States, Sept. 9, 1975 (GAO No. GGD–76–2).

SURVEY OF STATE LIBRARY AGENCIES ON LIBRARY CONSTRUCTION—PRELIMINARY REPORT

[The States report that approximately 226 library construction projects could be started by July 1, 1975 (col. 1); an additional 224 projects could be underway by Jan. 1, 1976 (col. 2); 293 more could start by July 1, 1976 (col. 3) if LSCA II is funded in fiscal year 1975. An additional 766 projects are needed over the next 2 to 3 years (col. 4)]

	July 1, 1975	Jan. 1, 1976	July 1, 1976	1976–78
Total number of projects	226	224	293	766
Alabama	2			3
Alaska	12	2	5	30
Arizona			2	5
Arkansas		3	2	
California	24	20		
Colorado	1	8	7	36
Connecticut	5	7	16	35
Delaware				
Florida	6	7	6	41
Georgia	2	3	7	27
Hawaii				
Idaho	12	10	5	8
Illinois	1		30	25
Indiana	3	2	5	20
Iowa	15	14	34	
Kansas	1			5
Kentucky	2	4	5	9
Louisiana	9			36
Maine	4	1	1	15
Maryland	2	[illegible]	2	11
Massachusetts	1	[illegible]	4	60
Michigan	11	15		35
Minnesota	2	5	7	16
Mississippi	22	17	16	42
Missouri	1	2	2	10
Montana		6		
Nebraska	3			12
Nevada	1	1		3
New Hampshire	3		7	15
New Jersey	2	6	20	
New Mexico	1	1	7	25
New York	7	20	23	
North Carolina	4	4	1	15
North Dakota				5
Ohio				
Oklahoma	3	4	5	4
Oregon	3	4	5	5
Pennsylvania	4	4	5	12
Rhode Island	4	2	5	16
South Carolina			1	3
South Dakota	1	2	2	15
Tennessee			1	8
Texas	18	27	15	39
Utah	9		3	22
Vermont	3	3	1	15
Virginia	3	4	4	7
Washington	6	4	13	36
West Virginia	3	3	3	25
Wisconsin	6	3	12	11
Wyoming	4	2	4	4

Source: American Library Association, Washington office.

STATEMENT OF JOHN A. HUMPHRY, ASSISTANT COMMISSIONER FOR LIBRARIES, NEW YORK STATE LIBRARIES, ALBANY, N.Y.

Mr. HUMPHRY. My name is John Humphry. I am assistant commissioner for libraries, New York State Education Department, responsible for administration of the Library Services and Construction Act in New York State. I am also a past president of the Association of State Library Agencies, a division of the American Library Association. I am speaking in support of the extension of the Library Services and Construction Act.

On behalf of the library community of the Nation, the Association of State Library Agencies and the American Library Association, I wish to express deep appreciation to you and the other Members of

Congress for your support of the Library Services and Construction Act during the past 20 years.

You have heard through your constituents, the Washington Office of the American Library Association and, of coure, through your own official reporting channels, of the greatly increased opportunities for the intellectual advancement of our citizens which this Act has made possible. We as a profession understand that there is need to assess and evaluate any ongoing activity and service, but in the interest of retaining progress already made, we recommend extension of the Act now with a few revisions. At the same time we must be receptive to its longer-term review, and possible revision, for the following reasons.

The National Commission on Libraries and Information Science has commissioned a review of the results of the act. Some States, including New York, have begun planning for governors' conferences in anticipation of a hoped-for White House Conference on Libraries. Such meetings will provide forums for assessment and evaluation as well as to help create greater awareness on the part of the public of the useful role of our libraries, but we cannot expect realistically to tabulate such results in the immediate future. Therefore, there is a rationale for recommending concurrent actions, short term and long term, that are nevertheless coordinate and compatible.

First, I respectfully recommend that the concept of forward funding be applied to this act, as it has been in other areas of education legislation. Long delays between enactments and receipt of funds pose extremely difficult problems for efficient planning. I am convinced that forward funding can produce economies as well as more effective use of appropriations and administration.

Second, the critical needs of urban libraries must be recognized. In the fiscal years 1971–75, approximately 45 percent of all LSCA title I funds allocated to New York State have been disbursed to our five metropolitan areas in the form of project grants. We need additional funds so that greater amounts can be allocated to those cities whose populations comprised a certain percentage of the State's total population. We need to rethink this LSCA support so that our emphasis is less on short-term projects and is focused more on using LSCA funds to assure that library services will be available to people in these cities over the long term.

Third, equally important is the continued development of effective systems and networks of libraries and information sources. LSCA funds have initiated and extended library service in large areas of many States, including rural areas in which people lacked access to the library services they need.

In recent years the States and local communities have taken a broader and more systematic approach to library services, one in which bookmobiles, books, staff, and other resources are shared on a multicounty basis to serve readers regardless of where they live.

In Ohio, for instance, this year libraries in 73 of the 88 counties participate in multicounty systems. The nine systems now include 64 percent of the State's public libraries and serve 46 percent of the State's population. In fiscal year 1976 these systems are assisted by $1,304,360 in LSCA ($1,003,360) and State aid ($301,000) funds. The Ohio system development more than tripled since 1970, when LSCA extension was last considered by this committee. In 1970 $72,287 in LSCA funds assisted two systems involving 21 libraries—or 8 percent of Ohio's libraries—in 17 counties.

LSCA funds are helping similar library systems' development in many other States across the Nation, including for instance North Carolina, Indiana, Texas, and Montana.

These developments point up the need for another type of action: State funds for library services. Twenty-five years of system development in New York State has proved the importance of state aid for library services. I suspect that the State and National White House conferences will show the need in most States for LSCA and expanded State aid funds to be used together to provide the library services people need.

Fourth, I recommend that a statutory limitation be placed on the use of funds provided under the act, perhaps 10 to 15 percent, for state administration and indirect costs, thereby helping preserve and advance the program objectives of the act. In view of the findings of the review of the act by the General Accounting Office, this recommendation takes an appropriate validity. At the same time, consideration should be given to the addition of a provision to insure that Federal funds will not replace or be substituted for responsible State support of the functions of the State library agency. States should be given leadtime of 2 to 3 years to meet such a requirement.

I wish to thank you for your attention and interest. I shall be glad to try to answer any questions you might have.

Mr. **Brademas**. Thank you very much.

Mr. Ekman.

STATEMENT OF EDWARD O. EKMAN, JR., TRUSTEE, NORTH KINGSTOWN FREE LIBRARY, R.I.

Mr. **Ekman**. My name is Edward O. Ekman, Jr., and I have been a trustee of the North Kingstown Free Library since October 1969. I have been a registered architect in Rhode Island since 1964 and have been in business as an architect since that time. I am appearing here today on behalf of the American Library Association.

I am fully aware of the importance of libraries as I have participated in the construction of several, including being building committee chairman of the new $1,300,000 library in North Kingstown. Of the $1.3 million, $109,349 are Federal funds and $540,561 are State funds. Rhode Island law permits the State to contribute up to 50 percent of the construction funds, with a funding provision which allows payment over 20 years.

When I came into the library scene in fiscal 1965, there had been almost no public library construction for decades. With the impetus of Federal funds this picture changed and Rhode Island now has accomplished more than $6 million worth of public library construction in the last decade.

Since I come to you directly from the dedication in North Kingstown yesterday of a new public library building which had the support of Federal funds from LSCA title II, I am most willing to testify on behalf of the extension of this legislation.

Although Rhode Island is one of very few States which has State funding for public library construction, I agree with the Department of State Library Services that Federal funding for this purpose has made all the difference. In case after case, a modest amount of Federal funding has led the State to pick up its share according to our law.

You may be interested to know that since fiscal 1965, the first year of the LSCA title II construction program, Rhode Island has been engaged in public library building projects which amount now to $6,384,776. Of this, the Federal grants have amounted to $1,252,253, a relatively modest share, and yet often an amount which has readily elicited State funds, as I have said.

The new Federal requirements for all buildings, mandated in the Occupational Safety and Health Act are indeed necessary, but are costly to the local community. Therefore, it is more important than ever that LSCA title II funding be continued to assist in the construction of library buildings which must meet these Federal requirements. Federal involvement and funding have been most helpful in increasing awareness of the needs of the handicapped at the State and local levels. Architectural barrier free construction has been the rule in public library construction in Rhode Island.

Turning from construction to the other provisions of LSCA, I should like to point out that Federal money for library service has made an enormous difference to the State of Rhode Island. This is true even though local and State appropriations have advanced significantly.

In fiscal 1965 Federal moneys were 50 percent of the budget of the department of state library services. The State has taken up this challenge and over the years the proportion has shifted so that today operating moneys for the department are 70 percent State funds and 30 percent Federal funds. Nevertheless, these Federal funds are exceedingly important. In our State, Federal funds do produce State funds, and these Federal funds have added the positive factor of giving the State some direction toward Federal goals.

At the same time I should like to point out that the per capita amount of local appropriations for public libraries in Rhode Island in fiscal 1965 was 97 cents. The current figure for fiscal 1975 is $3.24 per capita. This increase is 234 percent. Rhode Island is one of the New England States which has virtually abandoned counties. Consequently, there is no level of county funding and this increase must come directly from the cities and towns, in some of them through town meetings.

North Kingstown with its 1970 census population of 29,793 has a library which serves in the middle range among the libraries of Rhode Island, not as large, of course, as Warwick or Providence, or as small as Burrillville or Little Compton. Therefore, our library is very close to the people which it serves. I should like to be very definite in my support of legislation that helps libraries of all sizes as components of an interrelated library system.

Rhode Island has created a very effective network of all types of libraries. This State is divided into five interrelated library systems. Our library benefits immensely from such system activities as interlibrary loan, rotating collections or bulk loans, workshops and continuing education, and other regional and statewide efforts.

Rhode Island has a grant-in-aid to cities and towns based on public libraries meeting standards. Hardnosed businesmen, serving as trustees, have expressed the fact that while the money is important, the services of the network are the chief factors which make their libraries work to meet standards. I understand that funding from both title I and title III of LSCA helps to support this network.

Much as the Federal LSCA funding of past years has been appreciated, I must admit that Federal funds have recently been both too little and too late. Funding has not increased significantly over the past few years, while we have seen a steady growth in the need for library services.

A final figure for Federal appropriations for library services has often reached the State beyond the midpoint of the current year. I should hope that the authorizations for library funds would remain at least at the present level and that appropriations could rapidly increase. The Department has informed me that this problem could be alleviated if LSCA could be forward funded. This would mean the States would know a year in advance the amount of Federal funds they would be receiving. For planning at the local level as well as at the State level, this would offer a distinct advantage. As a trustee, I am very conscious of the need for planning at all levels: Local, State, and National.

I understand that legislation has been passed to permit a White House Conference on Libraries and that in each State there would be a Governor's Conference on Libraries which would precede the national meeting.

Rhode Island is most eager that these conferences take place. We have been proud to note that our own Senator Claiborne Pell introduced the White House Conference legislation on the Senate side, just as you did, Mr. Chairman, on the House side. We also know the concern of Representative Edward Beard, a member of this subcommittee, for people-oriented programs.

One of the final points I should like to make from my observation as trustee of a fine new facility is that public libraries are coming into greater use than ever before. I realize our new building will attract many new readers and encourage many longtime patrons to expand their use. However, libraries all over Rhode Island are experiencing similar expansion of service. Surely part of this is because of the economic situation in our State which has had record unemployment. People are turning to the reading of books and periodicals from the library shelves and are benefiting from the many types of library programs which serve everyone from preschools to the elderly.

Please accept, Mr. Chairman, my sincere appreciation to you and to the subcommittee members for giving me the privilege of appearing here today. Since my library is in a middle group in my State, I feel I can speak for all libraries in their need for a Federal commitment of legislation and moneys.

I urge favorable action on the renewal of the Library Services and Construction Act.

Mr. Brademas. Thank you, Mr. Ekman.

STATEMENT OF BETH HAMILTON, EXECUTIVE DIRECTOR, ILLINOIS REGIONAL LIBRARY COUNCIL OF CHICAGO

Ms. HAMILTON. I am Beth Hamilton, executive director of the Illinois Regional Library Council of Chicago, an interlibrary cooperation project made possible by funding through title III of the Library Services and Construction Act. I am pleased to be here this morning on behalf of the American Library Association to provide testimony on the impact of LSCA in Illinois in general, and on the improvement of library services to Chicago metropolitan area residents in particular.

The extension of LSCA is of great concern to the 272-member council which I represent, as well as to emerging regional library councils in other States which are depending upon LSCA for their development. Councils in Chicago, Cleveland, Indianapolis, Pittsburgh, and Milwaukee have been able to initiate numerous innovative projects to fill existing gaps in library service in a relatively short time with relatively small LSCA grants.

My counterparts and I have found, however, that we are only beginning to perceive the full blueprint for succesful interaction among all types of libraries. We are only beginning to penetrate our respective areas to communicate the value of sharing resources and to dispel some widly held misconceptions about joint activities.

It is a matter of disbelief and utmost concern that the administration should be recommending termination of LSCA at a time when we need to sustain the momentum we have achieved and when more and more libraries are looking to networking as a means of providing better service to all. Each year, libraries are called upon to satisfy the increasingly complex information needs of their users. Continuation of the Library Services and Construction Act is necessary if we are to strengthen library services at the State and local levels, and aim toward a comprehensive program of good sevice throughout the Nation.

I strongly recommend that the current titles of LSCA be extended for a 5-year period and that the extension be accompanied by: (1) additional funding adequate to support new developments for which potential has been demonstrated in previous years; (2) forward funding and late allocation which hamper efficient operation at the State and local levels; (3) incentives for development of adequate State assistance programs and for strengthening State library agencies which administer them; and (4) adequate provision for multitype library network development nad planned linkages between existing networks.

Mr. Chairman, other members of this panel will be discussing difference aspects of LSCA. I have devoted my statement to some of the ways LSCA has benefited residents of Illinois, particularly through the extension of services to the unserved, and through the development of interlibrary cooperative projects such as the Illinois Regional Library Council.

The most significant claim which can be made for LSCA impact in Illinois is the establishment of the Illinois library and information network with its 911 member libraries and $10 million annual State assistance program which was initially stimulated by LSCA funding.

Although Illinois developed its network quickly and effectively with the benefit of full formula funding, there are many problems yet to be solved.

In attempting to solve the problem of 2 million unserved residents, a project cost program was devised to promote establishment of tax-supported library services in areas where they are nonexistent or in need of being extended.

Over a 4-year period, LSCA title I grants totaling $1.63 million were spent to bring 17 demonstration projects to areas of a total population of 198,000, resulting in the establishment of new libraries or new library districts which have a total annual income from taxes of $1.38 million.

The library resources enrichment program is an LSCA title I project to help local libraries purchase materials and meet collection standards, resulting in the purchase of 76,000 items of nonfiction materials from an LSCA title I grant of $1.53 million.

A shared staffing program has enabled placement of professional librarians in two neighboring libraries where professional staff was not affordable previously.

A staff enrichment program carried out with a $288,000 title I grant enabled the hiring of reference consultants by systems with the condition that the system pick up the tab for the new staff member in the third year.

An LSCA title I grant of $14,000 for library service to five correctional institutions was followed by permanent support in the annual amount of $548,000 by three local governments.

Another title I project enables regional library service to Spanish-speaking residents on a cooperative basis by eight participating communities. This will provide a Spanish-speaking librarian, support staff, equipment, and materials. The eight libraries are obligated to continue the program when this LSCA title I grant ceases.

A 2-year project to fill the unmet needs of the disadvantaged has been continued as an ongoing project of the Chicago Public Library.

The beginning of a bibliographic network for the State are evident in the Illinois OCLC shared cataloging project which is online at the State's largest libraries and in which 26 additional academic libraries have agreed to participate.

A multitype library cooperation project undertaken in Peoria provided the blueprint for a massive network expansion plan to bring academic, school, and special libraries into the existing State library network.

The 2-year expansion program, funded at the State level with $900,000 LSCA title I funds, enables the employment of library cooperation consultants in each public library system to work with nonpublic libraries in resources sharing and development activities. This expansion program is basically the conversion of a public library network to a multitype library one.

Altogether, LSCA has been very effective as seed money, the State has been responsive, and the library users have benefited immeasurably.

The Illinois Regional Library Council lives in peaceful coexistence with the resplendent Illinois library and information network of which it is not as yet a part. The council, founded in 1971, after 2 years in the organizational process, was incorporated as a not-for-profit Illinois corporation in March 1972. The council was a grassroots eruption in the Chicago metropolitan area at the time the public library systems' successes were becoming noticeable and when the need was felt to promote cooperation among all types of libraries in the bibliographically rich metropolitan region.

From its beginning, the council has been funded with LSCA title III funds to the extent of 85 to 88 percent of its operating budget—see appendix III.

The council membership as of November 1, 1975, includes 272 libraries, of which 54 are academic, 12 school, 85 special, and 121 public libraries and library systems. Approximately 40 percent of these libraries are publicly supported, while 60 percent are privately supported.

That there is a need for regional councils in Illinois in face of the growth of multitype systems is a question which seems to be debated frequently both inside and outside the metropolitan area.

The extension of the Library Services and Construction Act will allow for continued development and experimentation, and for more critical examination of the means by which library resources can be shared and information delivered more quickly and efficiently to the ever more sophisticated and demanding library user.

Thank you, Mr. Chairman and members of the subcommittee, for this opportunity to present testimony on the importance of extending the Library Services and Construction Act.

[Prepared statement of Beth Hamilton follows:]

Prepared Statement of Beth Hamilton, Executive Director, Illinois Regional Library Council of Chicago

I am Beth Hamilton, Executive Director of the Illinois Regional Library Council of Chicago, an interlibrary cooperation project made possible by funding through Title III of the Library Services and Construction Act. I am pleased to be here this morning on behalf of the American Library Association to provide testimony on the impact of LSCA in Illinois in general, and on the improvement of library services to Chicago metropolitan area residents in particular.

The extension of LSCA is of great concern to the 272-member council which I represent, as well as to emerging regional library councils in other states which are depending upon LSCA for their development. Councils in Chicago, Cleveland, Indianapolis, Pittsburgh, and Milwaukee have been able to initiate numerous innovative projects to fill existing gaps in library service in a relatively short time with relatively small LSCA grants. My counterparts and I have found, however, that we are only beginning to perceive the full blueprint for successful interaction among all types of libraries. We are only beginning to penetrate our respective areas to communicate the value of sharing resources and to dispel some widely-held misconceptions about joint activities.

It is a matter of disbelief and utmost concern that the Administration should be recommending termination of LSCA at a time when we need to sustain the momentum we have achieved while continuing to experiment and when more and more libraries are looking to networking as a means of providing better service to all. Each year libraries are called upon to satisfy the increasingly complex information needs of their users. Continuation of the Library Services and Construction Act is necessary if we are to strengthen library services at the state and local levels and aim toward a comprehensive program of good service throughout the nation.

I strongly recommend that the current titles of LSCA be extended for a five-year period, and that the extension be accompanied by: (1) additional funding adequate to support new developments for which potential has been demonstrated in previous years; (2) forward funding provisions to solve recurring problems of uncertainty in funding and late allocation which hamper efficient operation at the state and local levels; (3) incentives for development of adequate state assistance programs and for strengthening state library agencies which administer them; and (4) adequate provision for multitype library network development and planned linkages between existing networks.

Mr. Chairman, other members of this panel will be discussing different aspects of LSCA. I have devoted my statement to some of the ways LSCA has benefitted residents of Illinois, particularly through the extension of services to the unserved, and through the development of interlibrary cooperative projects such as the Illinois Regional Library Council.

LSCA BENEFITS TO ILLINOIS LIBRARIES

Illinois Library and Information Network (ILLINET)

The plan for library service in Illinois is an ambitious one and progress to date has been enhanced by the Network of Public Library Systems Act of 1965. By far the most significant claim which can be made for LSCA impact is that both the state's initial system legislation and the first formula increase were LSCA encouraged. In the past decade, the systems have been highly successful and are now an integral part of the $10 million dollar ILLINET network. As the systems became well established, they were able to expand their memberships beyond public libraries, in keeping with the goal of the Illinois State Library to involve all types of libraries in one network which would make available to everyone the same resources regardless of where he or she lives, works, or goes to school, and regardless of which library is approached first. As of June 30, 1975, voluntary membership in Illinois library systems amounted to 549 public libraries, 108 special libraries, 151 academic libraries, and 103 school libraries.

Project PLUS: Service to the unserved

Illinois has developed its network quickly and effectively with the benefit of full formula funding; however, there are many problems yet to be solved. One is that two million residents lived in areas without public library facilities as of June 1974 (see Appendix I). One solution is to use federal funds which come from all taxpayers to reach out to help those which have not been able, for one reason or another, to achieve public library service. The Illinois State Library devised a program called Project PLUS (Promoting Larger Units of Service) which promotes and stimulates the development of tax-supported library services in areas where they are non-existent or in need of being extended. In the fiscal years 1972 to 1976, LSCA Title I grants totaling $1,633,562 were spent to bring seventeen demonstration projects to areas with a total population of 198,102 (see Appendix II). The Project PLUSes are an excellent case of pump priming. The seventeen projects resulted in the establishment of libraries or new districts which have a total assessed valuation of $923 million and a total annual income of $1,385,494.

Project PLUS is a good example of the need to extend LSCA. As in all new programs, there is the need for communicating the program's value and for gaining its acceptance. The Project PLUS program has benefitted suburban libraries more than rural ones. It is recognized that the program needs modification to increase its suitability to rural areas. Residents in some farming communities cannot afford start-up costs but can afford an on-going library operation. Or they cannot afford to buy the bookmobile needed for geographic spread. Two new rural areas are now beginning a Project PLUS, but much more time and pump priming dollars are needed to bring the rural service program to fruition. Through this program, funding has been given a level which, if picked up, would result in quality library service at the rate of at least $5.00 per capita.

Book purchases to meet standards for public library service

The Illinois Library Resources Enrichment Program is an LSCA Title I project to help local libraries and library systems meet collection standards. This program made funds available in 1972 at the rate of 10¢ per capita for systems and 5¢ per capita for local libraries for the purchase of new non-fiction materials. The program resulted in the addition of 76,587 items of all kinds, print and non-print, to the collections of Illinois libraries. This $1,534,937 Title I grant in 1972 was followed by a second one in 1974 for which final evaluation is not available. The grants have enabled nine million Illinois residents to have access to a greater variety of reference and nonfiction materials. Two library systems ventured into innovative programs as a result of the grants. One system used part of its funds to initiate a Coordinated Acquisitions Program with twenty-two subject specialties dispersed among member library subject centers, covering the entire range of the Dewey Decimal System. Another system used Title I funds to develop eight individual collections of tape cassetts and framed art reproductions which are housed in zone center libraries. Each zone has 5–9 member libraries and the program has encouraged the libraries within each zone to work more closely together.

Library manpower and staff enrichment

The quality of library service in the state will be improved through a shared staffing program designed for communities now unable to afford professional libraries and willing to share a professional with one or two neighboring libraries. Coordination of each program will be handled by the library systems. This two-year project is partially supported by an LSCA Title I grant of $84,000.

A Staff Enrichment Program which strengthens the information and reference capabilities of local libraries by funding a staff member at the system level has been carried out with a $288,000 LSCA Title I grant beginning in fiscal 1974. The reference librarians hired under this proposal have been able to conduct workshops for local libraries, to weed reference collections, and generally to enhance reference service in smaller libraries. The agreement which systems made before accepting the grant was to pick up the tab for the new staff member in the third year.

Service to correctional institutions

A two-year LSCA Title I grant of $14,856 for library service to residents of five correctional facilities in the Bur Oak Library System was followed by permanent support from the Illinois Department of Corrections, the Illinois Law Enforcement Commission, and the Illinois State Library for all state correctional institutions. The 1975 budget for the continuing support was $548,277.

Regional service to Spanish-speaking residents

Spanish-speaking Americans constitute the largest minority group in the northwest suburbs of Chicago—a population of approximately 5,470. These residents are not presently being reached by traditional library services. In November 1975, Palatine Public Library, a member of the North Suburban Library System, received a $63,940 LSCA Title I grant to develop cooperatively with seven neighboring libraries public library services to Spanish-speaking residents of the eight communities served. The two-year project provides a Spanish-speaking librarian, support staff, equipment, and materials. The eight libraries are obligated to continue the program after the LSCA Title I funding ceases.

A somewhat similar project, El Centro de la Causa Library Project, is now coming to an end and is being absorbed by the Chicago Public Library into its regular ongoing program. The objective of this two-year project was to develop library service to a previously unserved population with special cultural and linguistic needs through a cooperative program operated by the Chicago Public Library and a community center. The model of public library service to the bilingual and bicultural community was developed with LSCA Title I funds.

Illinois OCLC shared cataloging project

The Illinois Board of Higher Education and the Illinois State Library began a cooperative pilot project with the Ohio College Library Center (OCLC) in 1974 for catalog card production service offered by OCLC. The State Library and Reference and Research Centers at University of Illinois at Urbana, Chicago Public Library, and Southern Illinois University went on-line with the OCLC computer in Columbus in October 1974 to build a data base in first-level MARC (machine readable cataloging) format of all records that they input. In Spring 1975, an additional 26 academic libraries agreed to commit their own funds and to participate in the project. Funded in fiscal 1975 with a $53,000 LSCA Title III grant, the project has a staff of two systems librarians to coordinate the project with OCLC and to provide instruction in use of OCLC for librarians entering the project.

Expansion of the public library network

As the public library systems expanded their memberships to serve academic, special, and school libraries within their areas, it became necessary to create additional staff positions within each system to work closely with the nonpublic libraries and to develop service programs which would bring the system into a broader operation. Because there is considerable difference in the number of nonpublic libraries in Illinois systems, provisions were made to fund either a full-time project ($30,000/year) or a half-time one ($15,000/year) for each participating system. The grant includes the salary of a librarian qualified to work in a consultant capacity with all types of libraries, support staff, travel, and workshops. The two-year statewide budget for the project is $900,000 of LSCA Title I funds. Coordinated by the library cooperation consultant at the Illinois State Library, the program is designed to result in different types of libraries working together to provide more effective and efficient service. The program strengthens the systems and continues to recognize them as the main focus for library development in the state.

A system-based intertype library council

There are two different forms of multitype library councils in Illinois, both receiving LSCA funding. One is the Illinois Regional Library Council, to be covered later in this testimony; the other is a project undertaken by the Illinois Valley Library System in Peoria. The goals of the IVLS project are to promote and facilitate, within the system structure and system area, the use of all existing library resources in all types of libraries and to develop additional resources as needed. Accomplishments of the IVLS project include: a placement service, and experimental outreach program in seven member libraries in conjunction with Illinois Central College, a system-funded demonstration project providing access to twenty-nine data bases through a commercial supplier, and a restructuring of the IVLS governing board to include representatives from all types of libraries in the decision-making process. Forerunner of the statewide system expansion program, the IVLS project was begun in the Fall of 1973 with an LSCA Title I grant.

Summary of LSCA benefits to Illinois libraries

The most significant claim which can be made for LSCA impact in Illinois is that the establishment of the Illinois Library and Information Network, with its 911 member libraries and $10 million dollar annual state assistance program, was stimulated initially by LSCA funding. In attemping to solve the problem of the two million unserved residents, a Project PLUS program was devised to promote the establishment of tax-supported library services in areas where they were non-existent. Over a four-year period, LSCA Title I grants totaling $1.63 million dollars were spent to bring seventeen demonstration projects to areas of a total population of 198,102, resulting in the establishment of new libraries or library districts which have a total annual income from taxes of $1.38 million dollars. The Library Resources Enrichment Program to help local libraries purchase materials to meet collection standards resulted in the purchase of 76,587 items of nonfiction materials from a 1972 LSCA Title I grant of $1,534,937. A Shared Staffing Program has enabled placement of professional librarians in two negihboring libraries where professional staff was not affordable previously. And a Staff Enrichment Program carried out with a $288 000 Title I grant enabled the hiring of deference consultants by systems providing the systems agreed to pick up the tab for the new staff member in the third year.

An LSCA Title I grant of $14.856 for library service to five state correctional institutions was followed by permanent support in the annual amount of $548.277 by three local state departments. Another Title I project enables regional library service to Spanish-speaking residents on a cooperative basis by eight participating public libraries which are obligated to continue the program when the LSCA grant ceases. A two-year project to fill the unmet needs of the disadvantaged has been continued as an on-going project of the Chicago Public Library.

The beginnings of a bibliographic network for the state are evident in the Illinois OCLC Shared Cataloging Project which is on-line at the state's largest libraries and in which 26 additional academic libraries have agreed to participate. A multitype library cooperation project undertaken in Peoria provided the blueprint for a massive network expansion plan to bring academic, school, and special ilbraries into the existing state library network. The two-year expansion program, funded at the state level with $900,000 LSCA Title I funds, enables the employment of library cooperation consultants in each public library system to work with nonpublic libraries in resources sharing and development activities.

This expansion program is basically the conversion of a public library network to a multitype library one.

Altogether, LSCA has been very effective as seed money, the state has been responsive, and the library users have benefitted immeasurably.

ILLINOIS REGIONAL LIBRARY COUNCIL

The Illinois Regional Library Council lives in peaceful co-existence with the resplendent Illinois Library and Information Network of which it is not as yet a part. The Council, founded in 1971 after two years in the organizational process, was incorporated as a not-for-profit Illinois corporation in March 1972. The Council was a grassroots eruption in the Chicago metropolitan area at the time the public library systems' successes were becoming noticeable and when the need was felt to promote cooperation among all types of libraries in the bibliographically-rich metropolitan region.

From its beginning, the Council has been funded with LSCA Title III funds to the extent of 85 to 88% of its operating budget (see Appendix III). IRLC has had the support of the Illinois State Library and of the seven metropolitan library systems and has enjoyed the active involvement of an ever-increasing membership. With a relatively small budget and a two-woman staff, we have been abe to initiate a program to increase access to a large portion of the region's library resources; publish two editions of a library resources directory; conceive and conduct a pilot project for improving delivery service; create a five year plan of service; obtain a grant to develop a serials information system which will soon result in both a machine-readable file and a published union list of serials; and conduct numerous feasibility studies including, but not limited to, those for a compact storage center, a data base center, and a local documents expediting project.

The six counties in the Chicago metropolitan area cover 3,714 square miles and have a population of seven million residents. There are estimated to be about 1,500 libraries in this area, with monographic holdings of at least 30 million volumes. The area's library users total three million, while 635,146 residents remain unserved (see Appendix I). The Council membership as of November 1, 1975, includes 272 libraries, of which 54 are academic, 12 school, 85 special, and 121 public libraries and library systems. Approximately 40 percent of these libraries are publicly-supported, while 60 percent are privately-supported.

The Infopass Program is a physical access program which allows a library patron to use the resources of cooperating Council member libraries when the resources he needs are not avaliable in his own library. Some libraries have extended borrowing privileges on the Infopass card. The Infopass Program, inaugurated in January 1973, has been adopted by councils in Milwaukee, Kenosha, and Peoria and reworked to fulfill the needs of these areas. The Wisconsin councils and the Illinois Regional Library Council have arranged contractually to honor each other's Infopasses on a reciprocal basis.

The need for an areawide delivery service was identified at the Council's first annual meeting in 1972. A Northwestern Illinois Delivery Service (NEIDS) was proposed and operated as a pilot project in 1973. NEIDS is an extension of public library systems' van routes in the suburbs and an interconnection with the John Crerar Library's subscription delivery service to city libraries. The NEIDS service initially brought an additional 122 libraries in the Chicago area into a pattern of daily or almost daily delivery service. Monthly volume during the eight month pilot project amounted to 1,100 shipments, a total savings to members of about $8,000 over the cost of dismal U.S. mail delivery. After the pilot period, the participating systems agreed to subsidize NEIDS on a continuing basis, while the Council continues to coordinate the service. A NEIDS II service was started as the result of problem discussion during the five-year-plan sessions. It was learned that the nightly shuttle service between The University of Illinois Chicago and Urbana campuses could piggy-back the library systems' deliveries from the Reference and Research Center at Urbana to Chicago to connect with the NEIDS I operation. The total cost of NEIDS I and II is less than $5,000 per year.

A Union List of Serial Holdings in Illinois Special Libraries is being developed with a state Higher Education Cooperation Act grant from the Illinois Board of Higher Education. By far the largest Council undertaking to date, the project has had the assistance of over seventy Council member librarians who have done filing, editing, and proofreading on a volunteer basis. The project began in mid-1973 with the awarding of a grant equivalent to about 30 percent of the funds needed for a project of this size. The published list will include 30,000 titles held in 142 special libraries throughout the state. In addition to the printed list, a machine-readable file will be generated to facilitate updating and spin-off of individual libraries' holdings lists.

A directory of library resources was published in 1973 to supersede an earlier directory which was issued to participants of the Infopass Program. The second directory, Libraries and Information Centers in the Chicago Metropolitan Area, provides descriptions of 303 libraries, including historical background and objective statements, open hours, collection descriptions, services offered, and use privileges offered to outside users. A third edition, compiled entirely by volunteers, computer-produced in a Council member library, and containing an additional 100 library entries, is planned for publication in 1976.

Other Council publications consist of a monthly newsletter to members, Multitype Library Cooperative News: a Guide to Educational Opportunities for Librarians in the Chicago Metropolitan Area, annual reports, and recently, the first of a series of research papers dealing with library cooperation and metropolitan service.

The Council Board provides a forum to which members, staff, and the public can bring library-related problems and inspirations. The Board reviews proposals brought before it and takes action, either by referral to another agency or by convening study groups to consider desirability and feasibility of proposed projects. The quarterly meetings of the Board of Directors, annual meetings for the full membership, and frequent workshops, committee meetings, and planning sessions throughout the Council area bring staff from all types of libraries into close interaction and promote fuller understanding of the problems of sharing resources and serving a great variety of library users.

The Council is a planning and coordinating agency and is involved in operating projects only on an experimental basis or when no other library agency is willing to fill existing gaps. Its membership had agreed to provide additional support, but not to the extent needed for an operation which can explore the full potential of multitype cooperation. In seeking alternative methods of funding, the Council held membership hearings to determine methods of future funding when its LSCA grant expires in 1977. It was the consensus to request the State Library to seek permanent state funding of regional councils, the formation of which would be initiated by library systems in the state.

That there is a need for regional councils in Illinois in face of the growth of multitype systems is a question which seems to be debated frequently both inside and outside the metropolitan area. Indiana Area Library Service Authorities face the same question in the matter of how they relate to the statewide bibliographic network, INCOLSA. Wisconsin and Ohio seem to be moving toward designating their metropolitan councils as nodes in the existing state networks of public libraries. The whole business of network relationships, or interfacing, assumes greater importance than it did a decade ago when the dynamics of networking were not so much upon us. Time and money are needed to evolve careful principles of network relationships, at the local, state, regional, and national levels, if we are to avoid large expenditures of money unnecessarily.

As present metropolitan council's funding under LSCA Title III expires, it will be necessary to seek state assistance for their continuation. The tendency is likely to be to try to fit metropolitan problems into statewide programs which can be justified to statewide-thinking legislatures. This will not accommodate the complexities of metropolitan area library service and is the very kind of over-simplification which will preclude the success of a comprehensive national network.

The extension of the Library Services and Construction Act will allow for continued development and experimentation, and for more critical examination of the means by which library resources can be shared and information delivered more quickly and efficiently to the ever more sophisticated and demanding library user.

Thank you, Mr. Chairman and Members of the Subcommittee for this opportunity to present testimony on the importance of extending the Library Services and Construction Act.

APPENDIX I

Library system	Land area (square miles)	Total population	Percent of total State population	Total unserved	Percent of State's total unserved
Unserved residents in the Chicago metropolitan area:					
Bur Oak	2,257	396,710	3.54	131,002	6.36
Chicago	223	3,369,359	30.11	0	0
DuPage	615	529,534	4.73	128,229	6.23
North Suburban	732	1,236,149	11.04	150,831	7.32
Suburban	564	1,495,906	13.36	225,084	10.93
Total	4,391	7,027,658	62.78	635,146	30.84
Other unserved Illinois residents—1974:					
Corn Belt	2,780	168,389	1.50	50,936	2.47
Cumberland Trail	5,588	224,798	2.00	125,781	6.11
Great River	4,401	182,200	1.62	71,183	3.45
Illinois Valley	2,925	401,534	3.58	74,553	3.62
Kaskaskia	2,080	342,606	3.06	160,393	7.79
Lewis and Clark	3,911	387,868	3.46	170,075	8.26
Lincoln Trail	5,867	426,222	3.80	119,104	5.78
Northern Illinois	5,450	714,731	6.38	195,141	9 48
River Bend	1,571	211,628	1.89	52,450	2.54
Rolling Prairie	4,625	429,743	3.84	150,518	7.31
Shawnee	6,146	319,819	2.85	153,953	7.47
Starved Rock	2,172	162,097	1.44	47,771	2.32
Western Illinois	3,970	190,736	1.70	51,236	2.48
Total	49,314	4,000,274	35.68	1,375,323	66.76
State total	55,877	11,190,029	100.00	2,058,240	100.00

APPENDIX II

PROJECT PLUS—PROMOTING LARGER UNITS OF SERVICE IN THE ESTABLISHMENT OF PUBLIC LIBRARIES

Library system and project name	Years	Total grant	Population of—			Assessed valuation of project area	Income at tax levy of 0.0015
			Existing library	Project area	New library district		
DuPage: Glendale Heights	1973, 1975	$94,080	0	13,494	13,494	39,199 236	58,799
Illinois Valley: Alpha Park	1972, 1973	203,160	0	20,186	20,186	103,577,608	155,366
Northern suburban:							
Niles	1973	8,440	28,110	7,240	35,350	19,186,926	28,780
Warren-Newport	1973–74	165,210	0	23,077	2 3077	85,952,758	128,929
Ela-Area	1973–74	106,050	0	10,605	10,605	58,272,064	87,408
Vernon	1974–75	127,390	0	9,138	9,138	71,922,677	107,844
Cook Memorial	1974–75	14,360	25,577	1,436	27,013	11,087,371	16,631
Niles-Maine Township	1974–75	120,000	35,350	12,467	47,817	77,686,941	116,530
Winnetka	1974–75	50,100	14,131	5,010	19,141	44,022,000	66,033
Elgin	1975	37,750	59,059	7,550	66,609	60,499,795	90,750
Indian Trails	1975	19,505	25,000	3,601	28,601	19,169,722	28,755
Northern Illinois:							
Round Lake	1972, 1974	68,856	0	15,365	15,365	34,705,658	52,058
Nippersink	1972, 1974	41,455	0	3,388	3,388	17,987,183	26,980
Suburban:							
Eisenhower	1972, 1974	259,606	0	27,103	27,103	110,532,009	165,798
Alsip-Merrionette Park	1973, 1974	152,850	0	15,285	15,285	93,362,325	140,043
Glenwood	1975–76	65,750	0	11,500	11,500	43,500,000	65,250
Country Club Hills-Hazel Crest.	1975–76	99,000	8,994	11,657	20,651	33,000,000	49,500
Total		1,633,562	196,221	198,102	393,223	923,657,000	1,385,454

APPENDIX III

FINANCIAL DATA FOR THE ILLINOIS REGIONAL LIBRARY COUNCIL

	Income				
	LSCA title III	Local dues	Other [1]	Total	Expenditures
Fiscal year:					
1972	0	$4,500.00	0	$4,500.00	$4,455.70
1973 [2]	$49,174.00	7,100.00	$82.50	56,356.50	53,155.06
1974	54,606.00	8,285.00	3,844.68	66,735.68	66,977.83
1975	63,170.00	8,705.00	1,722.00	73,597.00	77,900.92
1976 [3]	69,487.00	8,800.00	5,442.86	83,729.86	
Total	236,437.00	37,390.00	11,092.04	284,919.04	202,489.56

[1] Other includes proceeds from sale of publications.
[2] Does not include HECA/HEA grant account.
[3] Budget.

Mr. **Brademas**. Thank you, Ms. Hamilton.

Ms. Markuson, I am glad to see someone from my home State here, too, needless to say.

STATEMENT OF BARBARA EVANS MARKUSON, PROJECT DIRECTOR, COOPERATIVE BIBLIOGRAPHIC CENTER FOR INDIANA LIBRARIES, INDIANAPOLIS, IND.

Ms. **Markuson**. I am glad to be here.

I am Barbara Evans Markuson, executive director of the Indiana Cooperative Library Services Authority—INCOLSA—a statewide cooperative serving more than 100 public, school, academic, and special libraries. I have spent the last 10 years working principally on projects related to interlibrary cooperation and the use of computers to support interlibrary cooperation. I want to testify in support of title III, interlibrary cooperation.

And I will summarize my testimony briefly.

One, I think the notion that we don't need to do anything more about helping libraries needs to be looked at, particularly, Mr. Chairman, in connection with your own State of Indiana, in which 25 percent of the State, geographically, with 500,000 citizens, has no public library service.

In Indiana, half of our public libraries spend less than $4,400 annually for books and other materials, and half of our school libraries have less than $2,000 annually to spend for books and audiovisual materials. Thus, in Indiana, as in other States, we are far from giving uniformly excellent service to our citizens.

Title III in Indiana has supported an interlibrary teletype network which has allowed small public libraries access to the resources of the large public libraries, the State library, and even up to the Library of Congress.

One librarian in a small, satellite library recently told me that the teletype network was her lifeline. Yet, in Indiana, the title III funds to support this lifeline have amounted annually to $24,815, or about $230 per library.

Title III has also been used to make vital socioeconomic data available through public libraries through a project called INDIRE, Indiana information retrieval system, which allows the public library to give socioeconomic data from an online data base to support people such as day-care workers, county planning commissions, students, and hospitals.

We have established cooperative networks in Indiana at the multicounty level and a State level. Increased funding of title III will be essential to the development of these cooperatives. We need time. We need time to eliminate the barriers which still remain.

When we are talking about interlibrary cooperation, we are talking about flow of information across jurisdictional lines. We are talking about helping public service librarians realize and meet these specialized needs of our citizens, such as the physically handicapped, the aged, non-English-speaking users, and others who require specialized assistance.

We need time to get more input from our users as to how they would like a cooperative library network to develop.

In particular, we need time to work with the many hundreds of laypeople who are involved in library service, college and university boards, school library boards, and public library boards.

Interlibrary cooperation involves working with nonlibrarians as well as librarians.

I submit to you that at this critical time with new technologies on the horizon, we are just now entering into library service, that you can give us the time that we need by not eliminating title III funding, not reducing it, but increasing support for interlibrary cooperation.

Thank you.

[The statement of Barbara Evans Markuson follows:]

PREPARED STATEMENT OF BARBARA E. MARKUSON, EXECUTIVE DIRECTOR OF THE INDIANA COOPERATIVE LIBRARY SERVICES AUTHORITY

I am Barbara Evans Markuson, Executive Director of the Indiana Cooperative Library Services Authority (INCOLSA) a state-wide cooperative serving more than one hundred public, school, academic, and special libraries. I have spent the last ten years working principally on projects related to interlibrary cooperation and the use of computers to support interlibrary cooperation. I want to testify in support of Title III, Interlibrary Cooperation.

The public library is the only personal source of information freely accessible to our citizens for their entire life span. Public libraries thus make a great, and frequently overlooked, contribution to American society. However, many of our citizens are severely penalized when their local public library, through inadequate support, cannot meet their information needs. Through interlibrary cooperation we seek to mobilize all libraries, public school, academic, and others in a system which will serve as a back-up of staff expertise, information resources, and technology, to assist the local library in serving its users better.

As you consider Title III, please keep in mind the meagre information resources that are available to many of our citizens. In your state, Mister Chairman, as this map shows, one-fourth of the state, an area with 500,000 citizens, has no public libraries. In Indiana, half of our public libraries spend less than $4,000 for books and other materials, and half of our school libraries have less than $2,000 annually to spend for books and audio-visual materials. Thus, in Indiana as in other states, we are far from giving uniformly excellent service to our citizens. I believe that interlibrary cooperation, as well as improved local libraries, will be a major factor in improving the present situation.

Let me give some specific examples of the impact of Title III in Indiana. Title III funds have supported a Teletype network which links our small libraries to the nearest large public library which is, in turn, linked to the Indiana State Library. The State Library is linked to our major academic libraries and to the Library of Congress. For example, the South Bend Public Library serves such small satellite libraries as Argos, Milford, Nappanee, and Warsaw. A librarian in a small satellite library recently told me that this Teletype Network was her "lifeline." In 1975 this "lifeline" served 100 libraries and provided assistance in answering reference requests and locating needed materials 43,975 times. The cost was $24,815 or about $230 per library. Title III is one of the best investments you can make.

Title III funds were used in a cooperative effort involving Indiana University, the Indiana State Library, and school and public libraries whereby a socio-economic data base developed at Indiana University was made available to our citizens through their local libraries. We believe INDIRS (the Indiana Information Retrieval System) is a unique project. INDIRS users have included regional planning commissions, departments of public welfare, community action groups, educators, students, hospitals, and child case workers, who obtain INDIRS information through their local libraries. Let me read one user's comment: "The data about the counties I serve, all on one sheet, easily readable . . . is more than I could hope for . . . the data will be useful as I plan developmental work in day care . . ." The current cost of making this resource available is about $6,000 a year from Title III or about eighty-three cents a user request.

Another Title III project resulted in a computerbased Indiana Union List of Serials which records more than 150,000 holdings in 60 libraries. Title III funds supported the computer processing and distribution costs, but the compilation of the data was a massive cooperative undertaking for the libraries involved.

In Indiana we have formally established legally based cooperative at the multi-county level, and the state-wide cooperative which I head which is also an established legal entity. Through these groups all types of libraries working together with the Indiana State Library, are seeking to improve library service through cooperation. A major state-wide effort this year is the installation of a computer-based catalog network through cooperation with the Ohio College Library Center. This effort would not be possible for Indiana libraries, if they had to develop such a system locally.

Throughout the country state-wide cooperative networks are under development. Networks are established in Illinois, Wisconsin, Minnesota, New York, and Washington. I was recently in Mississippi where a state network is being planned. Interstate cooperative library groups are established in New England, in the Southeast, the Midwest, the West, and the Southwest. Thousands of libraries are working toward a network that will bring massive resources and talent to assist each individual library meet users' needs when local sources are insufficient.

We need time, Time to eliminate barriers which still remain. There are legal barriers that impede the free flow of services across jurisdictional lines. Time to do continuing education in interlibrary cooperation. Time to help public service librarians recognize and plan for services for special users such as the physically handicapped, the aged, the non-English speaking user, and others requiring specialized assistance, Time to get ideas from our users. Time to prove the worth of our efforts to hundreds of local school boards, public library boards, and college and university boards. Interlibrary cooperation involves working with thousands of non-librarians in developing participatory arrangements. You can provide the time we need, at this critical point in our efforts, by continuing support to interlibrary cooperation.

I strongly urge you not to eliminate Title III funding, not to reduce Title III funding, but to increase support for interlibrary cooperation.

Mr. BRADEMAS. Thank you very much, indeed.

My thanks and that of the subcommittee to all of you for your very useful, illuminating testimony.

Let me make a comment or two and then put some questions to you.

I might say that I share the concern, Ms. Martin, that you have expressed, as well as some of the other witnesses, as to the failure of President Ford to announce his appointments to the White House Advisory Council. I have had similar experience with the President in respect of other matters.

I happen, also, to be the sponsor of the legislation that mandated the establishment of a commission to inquire into the handling and disposition of papers of all Federal officials, and we finally got some nominees to that, but the President was so dilatory that now, next month, I am going to have to hold hearings in another committee on a bill to extend the life of that commission.

I am distressed also that President Ford has not yet made a budget request for the White House Conference on Library and Information Services, and I say this is no partisan vein, because I am glad to say that Democrats and Republicans on this subcommittee and this committee and in the House and Senate have strongly supported libraries, but President Nixon, and President Ford following in the same tradition, have, I think, put themselves on record as being profoundly hostile to libraries in this country. And I think it ought to go right on the public record, it is not a question about which one wants to be ambiguous.

They seem to have a vested interest in illiteracy that the Republican Members of Congress do not, and so I would anticipate that there will be strong support for extension of the library services bill from both the Democrats and Republicans in Congress.

That quarrel is not between the parties but between this end of the Avenue and the other end of the Avenue.

Now, we will be hearing from the Administration witnesses shortly, and they will have plenty of opportunity to think about what I have said and give me all the facts and figures to show how profoundly mistaken I am.

I am also much taken by your comments with respect to, Ms. Martin, the Administration's proposal for library partnership. And it seems to me anomalous that an Administration that talks so much about the importance of decisionmaking at a local level should have abandoned that principle when it comes to this particular field of activity.

It is not surprising to me that there is so little support for that particular proposal.

I share as well your apprehensions about the Administration's theory that general revenue sharing can be an adequate substitute for the Library Services and Construction Act. This is, of course, the standard line that we get from the Administration in respect of every kind of program, as if there were enough general revenue-sharing moneys to go around.

I think you made the point very well in your testimony when you observed that the pattern of assistance from revenue-sharing funds, so far as libraries are concerned, is extraordinarily uneven across the country and, moreover, the manner of accounting for these funds is of so complex a nature that it is difficult to know just who is getting what.

We have had a very hard time understanding just what the facts are and you will get extraordinary letters from the revenue-sharing office here—at least, I have—when Mr. Pepper and I commissioned GAO studies on revenue-sharing moneys expended through municipal governments for children, for the very old, and for the handicapped, which led us to think we are doing a splendid job with revenue sharing, at least in respect of programs for the elderly.

I would ask you, Ms. Markuson, to turn a word of criticism to my own State government now, why is it, in your view, that Indiana has been so recalcitrant in voting State grants in aid for local public libraries support?

We are supposed to hear a lot of States' rights out in my neck of the woods.

Ms. MARKUSON. I am a newcomer to that State, and I find this is a very interesting aspect. As you know, we are only one of nine States left without any State support. We are hoping to continue to work on that.

I think it is still a feeling that the local taxpayers can have a library if they want a library and not have a library if they don't want a library, and we simply have to continue to hammer away at the notion that we are going to have library service.

I don't know the reason behind it, since I am new in the State.

Mr. BRADEMAS. As some of you have heard me say before, the first measure in which I was ever involved as a member of this committee 17 years ago was an effort to include Indiana in the rural library program. It was, I think, the last State in the Union not to participate in the program. Our then Governor Hanley, who thought this was a wicked and evil operation, was hostile because tainted Federal money would be coming into our State. At least we made progress in this respect.

I take it that most of you feel that we should continue authorization for the library construction program. Is there disagreement with that proposition on the part of any of the witnesses?

[No response.]

Mr. BRADEMAS. Well, the Chair hears none, let the record show.

I am also struck by what seems to be a common position on your part of support for the interlibrary cooperation program, title III, and of common opposition to the administration's efforts to kill this program.

Is there any disagreement with my summary of your attitudes?

Ms. MARTIN. If I might reinforce what we have said already; this has been one of the most successful programs we have been engaged in, I think, across the country.

Mr. BRADEMAS. I have two other questions.

Could you give us any comments on the general attitude of the library community toward title IV, the older readers' services program.

Ms. MARTIN. I should just say that it has been a matter of regret that it hasn't been funded. There is a real need. We see shifting in public libraries. The population we are serving is changing so much, and whereas we formerly had a predominance of younger patrons, which we still have, we now see this predominance of older patrons, and there is a critical need for funding now.

Mr. BRADEMAS. Any other comments by any witness on that?

Mr. HUMPHRY. I think, Mr. Chairman, that we should have the record show that the public libraries consider the fact that we do serve the entire spectrum of the population, and in New York State we have emphasized services to the elderly regardless of whether or not additional funds have been forthcoming, because these people stand to benefit from the services that a library provides, not just in recreational reading, but in information that they can gain as to where they can secure services of government and so forth, to make their lives as rich as they can at that particular stage in life.

I think we share your concern for the fact that every segment of the population is a responsibility of the library, and it should be served as equitably as we know how.

Mr. BRADEMAS. My final question touches on a point that a couple of you have made. That has to do with the matter of imposing a limitation on the amount of State money that can be expended for administrative services under title I, or for other services.

Now, I think, Ms. Martin, you suggested that there ought to be a limit of no more than 10 percent of a State's title I funds that can be used for State administration and indirect costs. You recommend this, but you do not agree, nor does HEW, with the GAO recommendation, that a similar limitation be placed on the use by a State of its title I funds for statewide services. Is that correct?

Ms. MARTIN. Yes, our strong feeling is that this money should be spent for services and that the States should spend State money for administration and that this would actually free up some new money for services.

Mr. BRADEMAS. Counsel draws my attention, Mr. Humphry, to a point that you have made. You may wish to comment on it a little bit further because it touches upon a significant policy question.

You say that, with respect to the needs of urban libraries, we need to rethink this support so that emphasis is less on short-term projects and more on using the money to assure that library services will be available to people in these cities over the long term.

Would you expand on that point?

Mr. HUMPHRY. Yes; I shall be glad to, because, I think, what we have provided in the past has been project money, money that has been earmarked for specific activities, and perhaps now we should be thinking of additional funding that could be used to sustain the big cities and big city libraries, since the cost of library services in the big cities is increasing and there are good and compelling reasons for sustained funding that would not have earmarks against which the cities could only accept these funds.

So, while in New York State we have granted 45 percent of our money to the five major metropolitan areas, it has been for projects, and we feel that additional money should be forthcoming for the sustenance of these big city libraries.

Actually, more than 80 percent of the money that is received in New York State is granted to local communities.

Mr. BRADEMAS. Thank you very much.

May I say to all of you that we should extend this legislation and we will certainly take into account the various constructive suggestions that you have made. But let me say that, given the posture of the executive branch of the Government, to which I earlier alluded, I think it important for you as spokesmen for the libraries of the country to encourage your associates across the country not to be hesitant in expressing their views to the Members of the House and Senate so that we can reach that magic figure of something in excess of 400 votes for the bill and then the President will understand that Republicans like to read books just as Democrats do and that he is heading in the wrong direction by his posture of hostility to this legislation.

So, with that admonition, let me thank you again for your very thoughtful testimony.

Ms. MARTIN. Thank you very much, and we will heed your admonition.

Mr. BRADEMAS. Next, we are pleased to hear from Dr. Ervin J. Gaines, the executive director of the Urban Libraries Council.

STATEMENT OF ERVIN J. GAINES, EXECUTIVE DIRECTOR, URBAN LIBRARIES COUNCIL, DIRECTOR, CLEVELAND PUBLIC LIBRARIES, CLEVELAND, OHIO

Mr. GAINES. The Urban Libraries Council, a charitable corporation operating under charter from the State of Illinois since 1971, is composed of member libraries from 22 cities in the United States comprising a total population of almost 13 million people according to the 1970 census. The council is governed by a board of librarians and trustees from 13 different cities. As executive director, I am charged with carrying out the board's directives, but my major occupation is as director of the Cleveland, Ohio, Public Library.

The council, as well as its representatives, are active members of the American Library Association, and we perceive our interests to be harmonious with those of ALA, with an added concern about the fate of our city public libraries. These city libraries constitute, we believe, a national resource that is eroding as our cities endure severe social dislocation and economic reverses. The councils' aim, therefore, is to persuade the ALA, and through it the Congress, to ask the Federal Government to play a greater role in deploying some of our national wealth toward, first, the salvation, and afterward, the orderly development of our city libraries.

My oral testimony today will be brief, but I will leave for the record of this committee copies of recent stories in the Wall Street Journal and The New York Times which underscore our message, together with other items the committee may wish to refer to in developing its view of the library situation.

Urban Libraries Council's immediate appeal is this:

We ask the Congress to extend the Library Services and Construction Act with the expectation that during the next year we will continue our work with the American Library Association to shape specific proposals for amending the act beginning in fiscal year 1978.

The council's long-range legislative goals are threefold:

One. We are of the opinion that LSCA should provide direct assistance to, at the very least, those public libraries which by their size and strength serve as significant regional centers for knowledge and information. We are convinced that LSCA as it stands does not achieve this, and we are equally convinced that general revenue sharing does not reach libraries in any significant amounts.

Two. We are of the opinion that LSCA should provide sufficient incentive to stimulate the States to provide from their resources aid to local libraries. Many States have virtually ignored opportunities to develop struggling library systems.

Three. We endorse the report to the National Commission on Libraries and Information Science, known by the title "Alternatives for Financing the Public Library," May 1974.

The key recommendation of that report is that the Federal Government should provide approximately 20 percent of the funding for public libraries—page 69—and that the budgets for libraries should rise by at least 100 percent in the next several years—page 61. Since the total expenditure for public libraries is now on the order of $1 billion, the Congress should appropriate about $200 million for this purpose, and as budgets rise, look to a staged increase in the next few years to an annual level of about $400 million in Federal aid. LSCA title I aid is now less than $50 million and has been declining.

In summary, what the council seeks is a radical review of library aids in the national interest. Vastly increased stores of knowledge are not now available to the general public; illiteracy and semiliteracy are on the rise. Even impotrant hearings before Congress are generally unavailable to the citizens of our country. We see a great danger ahead—an uninformed citizenry manipulated by a very-well-informed elite with a monopoly on the sources of knowledge. The public library is the only existing countervailing force to those developments, and it is too weak to exert substantial influence.

The Council believes that the Congress should intervene to rectify this growing imbalance. The cost will be small, the benefits great. The national interest will be well served by the effort.

For the moment, we are content, however, with a simple extension of LSCA in its present form. It is up to us in the next year to propose a specific program through the American Library Association which will accord both with our perceptions and with the congressional purpose. I close by reminding this committee that in creating the National Commission on Libraries and Information Science (Public Law 91-345) Congress affirmed that "library and information services adequate to meet the needs of the United States are essential to achieve national goals . . ." These services are at present inadequate, and Congress can take the leadership to make them adequate.

[Material submitted for the record follows:]

[New York Times, Nov. 27, 1975]

NATION'S LIBRARIES FACE ECONOMIC PINCH

(By C. Gerald Fraser)

In an outlying area of the Bronx, the city's newest branch library has no books and no librarians; it has never been used. Completed seven months ago, it has been shuttered ever since, the silent symbol of a low priority city service—the public library system.

Lacking the visible vitalness of a police precinct, a fire house or a hospital ward, the three library systems in the city are in what one official called a state of suspended animation, awaiting word on how deeply the budget knife will cut. And a similar situation exists across the country.

Branches in the city are on the verge of closing, hours have been reduced, librarians and aides have been discharged, bookmobiles have been taken off the streets and fewer books and periodicals are being purchased.

Ironically, this comes at a time when use of the libraries is increasing, a trend that is noticeable nationally and is similar to the increase marked during the Depression of the 1930's.

In the city, the New York Public Library—82 branches in Manhattan, the Bronx and Staten Island clocking more than 20 million users a year—has been told to cut 8 percent, or $1.2 million, from its budget of $22.5 million.

Edwin Holmgren, director of the branch libraries, said that this meant that 8 to 12 branches would be closed, there would be a reduction of hours in the ones remaining open and more than 100 persons would be dismissed. But none of this is certain, and the cuts could go deeper, depending on the final Federal-state-city settlement of the city's fiscal crisis.

Mr. Holmgren would not say which branches would close. But he said that the criteria were closeness to other branches, a building's condition, usage and the existence of alternative facilities.

All this, he said, is only the latest round in four years of budget cuts. Last July 1 the library dismissed 180 persons, 60 of whom were hired back.

The Brooklyn Public Library is ready with a plan to pair 38 branches—that is, to use one branch's staff to run two branches, each of which will be open approximately half a week. The Brooklyn library is planning to discharge 59 persons.

In Queens, a court agreed with charges in a suit filed by the National Association for the Advancement of Colored People. The suit contended that most of the 11 branches slated for closing were in predominantly black areas and consequently, the closings were discriminatory.

After the court's decision, Milton S. Byam, Queens Borough Public Library director, came up with a plan to pair branches. But this has also been scrapped, and city officials have told him to hold off on closings any and the scheduled dismissal of 56 persons until further notice.

Nationally, the inflation is hurting library systems as much as the recession. Eileen Cooke, the Washington-based representative of the American Library Association, said that libraries "haven't even held ground, we've lost ground in terms of buying power."

MAGAZINE SUBSCRIPTIONS UP

Miss Cooke said that the average book price had gone up from $12.65 to $14.09, magazine subscriptions had increased from an average of $17.71 to $19.98 a year—and the $17.71 figure was a 9 percent increase over the preceding year.

More and more book money is going into periodicals, she said, and research libraries believe that the purchase of scholarly journals—some of which may cost $65 a year—should be the last item eliminated in order to prevent gaps in collections.

Library services are expanding, Miss Cooke explained. Libraries also buy films, phonograph records, tape cassettes; they run tutorial programs, dial-a-story programs for children, picture collections and job and neighborhood information centers.

"Every dollar into postage," she added, "is a dollar less for books. Electric bills are going out of sight."

In Detroit, Clara Jones, city's director of libraries, said: "We've lowered thermostats and in our hallways, for example, I think every third light is on."

In Atlanta, Carlton Rochell, director of the library system, said that closings of branches were under consideration for 1976. This year, residents in four areas where branches were scheduled to be closed appealed to city hall and won a reprieve.

"The worse the times get," Mr. Rochell said, "the more use the library gets. We've had more than 23 percent over-all increase [in usuage] this year over last year. The best year in the history of this library," he said, "was 1931."

Betty Leroy, Los Angeles director of libraries, said that city was "kind of holding on."

"We can now buy the same quantity of books that we did a year ago or before. We can't buy more, but we're keeping up."

In New York State, according to Murray L. Bob, director of the Chautauqua-Cattaraugus Library System in Jamestown and president of the New York Library Association, said that state aid for libraries was "in pretty poor shape." There has been one substantial increase in 10 years, he said.

Dinah Lindauer, assistant to the director of the Nassau County Library System, said that the reference book budget had been "cut down to the bone just to keep our subscription." She said also that Suffolk County librarians referred to a recent discharge of 49 persons as the "Wednesday night massacre."

Mrs. Jones, of Detroit, who is also president-elect of the American Library Association, said that the public should not let its libraries go by default. "America leads the world in library organizations. The best-organized libraries are in this country. This is where the record of our civilization is kept and, fortunately, ours is not an elitist library system."

Urban, Academic Library Administrators Draft Position Paper for Federal Funding in Landmark Meeting

Twenty-four administrators from the nation's urban and academic libraries met at a unique meeting initiated by the Urban Libraries Council at Park Rapids, Minn., recently, to consider their rapidly worsening financial plight.

The subject was Federal funding. The problem, obviously, is lack of it. Discussion was serious, urgent and often spirited. At the end of their two-day session, they adopted a position paper outlining "what needs to be done on the Federal level to save the nation's libraries, an irreplaceable national asset, from further, serious deterioration."

Of significance was the fact that the Park Rapids "Conference on Library Funding" represents perhaps the first time—certainly one of the very few times—a national cross section of urban and academic library administrators have interfaced on this vital problem. "While I wasn't surprised, I was pleased to learn we are in total agreement on what needs to be done and how we should do it," said one attendee.

"Yes, I guess it would be proper to call us an ad-hoc committee," agreed Ervin J. Gaines, director of the Cleveland Public Library, and Melvin R. George, library director, Northeastern Illinois University, Chicago, who co-chaired the gathering.

"We are few in number, but we believe we speak for the vast majority. We see our meeting as a positive start towards closer, more effective cooperation between urban and academic library administrators to inform the American public, and our national government, of the seriousness and the urgency of the situation."

Gaines and George pointed out that two landmark pieces of Federal legislation affecting libraries will expire in 1976: the Library Services and Construction Act (LSCA) and the Higher Education Act. "Therefore, we are pledged to promote our objectives in every suitable manner and are determined to take them to Congress in 1976."

In its position paper, the Conference on Library Funding asks Congress to address itself to three areas of concern:

Direct assistance to every public and academic library;

Particular assistance to key library resources at strategic locations in all parts of the nation; and

Support for inter-library communications systems and resource sharing enterprises.

"We are firm in our conviction that the Federal government must take the lead in accelerating the achievement of these objectives," the position paper says, "and to that end we propose the following:

1. That the Federal government reverse its policy of attempting to reduce Federal aid to libraries.
2. That the Federal government set as its goal, to be reached in a reasonable time, support to academic and public libraries equal to 20 percent of the cost of operation.
3. That the Federal government establish incentives which will increase the share of our collective wealth that is assigned to support library and information services by 100 percent within the next decade.
4. That Federal appropriations be distributed to appropriate state agencies in proportion to the population, taking into consideration geographic factors of the distribution of that population, and that the states be required to do likewise within their boundaries.
5. That the states be required to give direct support to libraries, retaining only enough of Federal revenues to develop the program for communications systems and inter-library flow of information.
6. That states be required to raise their support levels to twice those of the Federal funding.

7. That in the process, there be no abridgement of local control."

Conference attendees generally agreed that while elements in this seven-point proposal "might seem to some to be excessive," there was no point in "watering anything down to make it more palatable."

Said one: "We're in a crisis stage. Yes, we are. The needs listed in our position paper are a minimum."

American Library Association executive director Robert Wedgeworth, an observer at the conference, noted that only about 1 percent of general Federal revenue sharing funds have gone towards the support of libraries.

"It's tough to compete with what the public sees as more pressing urban needs, like more firemen and policemen," he said.

Echoing Wedgeworth's feeling was Jack G. Duncan, counsel, Sub-Committee on Select Education, U.S. House of Representatives, Washington, who also was a conference observer.

"Congress has to control the budget," he said. "And when things are tight, just about the first thing to get swiped at are social services, including education. Unfortunately, but it's a fact of life—libraries have very little in the way of 'constituent demand'. I would suggest that you make your case known as widely as possible."

Conference co-chairmen Gaines and George concurred: "That's exactly what we plan to do."

The conference's position paper was preceded by a background paper outlining reasons for the conference and stating that city librarians, trustees and academic librarians found themselves in accord on several points:

1. That the library crisis is not local or regional, but national in scope.
2. That it is not confined to any single type of library.
3. That the crisis cannot be resolved by local effort.
4. That if the crisis long continues, irreversible damage may be done to the national social fabric.

"We perceive that what is required is a program simple in design but profound in its implications," the background paper says. "We trust that our declaration provides a field upon which we can deploy the forces for dynamic political action."

[Park Rapids, Minn., Oct. 13–14, 1975]

CONFERENCE ON LIBRARY FUNDING

DECLARATION

In 1970 the Congress of the United States established the National Commission on Libraries and Information Science. At that time the Congress affirmed "that library and information services adequate to meet the needs of the people of the United States are essential to achieve national goals."

We subscribe to that Congresisonal declaration. We also believe that the intent of Congress is not being met and that the time is at hand to give the words strength and substance.

Libraries are acknowledged on every hand to be crucial to the national welfare. Yet their capabilities are diminished daily by the fiscal crises of our cities and states. The largest and noblest of our libraries, as well as the smallest, are in jeopardy. The spreading crises threaten academic and public libraries alike.

National intervention is called for. Library service is indivisible and the social needs to which libraries answer are no respecters of age, wealth, educational attainment or geographical and political boundaries. The need for information is everywhere and simultaneous.

We think that library capability can be secured if the Congress will address itself to three areas of concern:

Direct assistance to every public and academic library;

Particular assistance to key library resources at strategic locations in all parts of the nation;

Support for interlibrary communications systems and resource sharing enterprises.

We are firm in our conviction that the federal government must take the lead in accelerating the achievement of these objectives. To that end we propose the following:

1. That the federal government reverse its policy of attempting to reduce federal aid to libraries;
2. That the federal government set as its goal, to be reached in a reasonable time, support to academic and public libraries equal to 20 percent of the cost of operation;
3. That the federal government establish incentives which will increase the share of our collective wealth that is assigned to support library and information services by 100 percent within the next decade;
4. That federal appropriations be distributed to appropriate state agencies in proportion to the population, taking into consideration geographic factors of the distribution of that population, and that the states be required to do likewise within their boundaries;
5. That the states be required to give direct support to libraries, retaining only enough of federal revenues to develop the programs for communications systems and interlibrary flow of information;
6. That states be required to raise their support levels to twice those of the federal funding;
7. That in the process there be no abridgement of local control.

BACKGROUND

For several years the Urban Libraries Council, a voluntary organization of libraries from urban centers of the nation, has been concerned about the failing effectiveness of city libaries. To test that opinion and to try to determine whether the faltering capability of our nation's city libraries had spread, as the Council believed, beyond the borders of major cities and beyond public libraries, the Council called a conference at which all of us, the undersigned, were participants. The meeting was convened during two days, October 13 and 14, 1975, at Park Rapids, Minnesota.

The conferees, made up of city librarians, trustees and academic librarians, found themselves in accord on several major points:

1. That the library crisis is not local or regional but national in scope;
2. That it is not confined to any single type of library;
3. That the crisis cannot be resolved by local effort;
4. That if the crisis long continues, irreversible damage may be done to the national social fabric.

We believe that we are representative of a wide spectrum of public opinion. Although few in number, we believe that we speak for many and that we can command the public opinion necessary to political action.

We perceive that what is required is a program simple in design but profound in its implications.

We have prepared a document which we trust meets the dual requirements of simplicity and profundity.

We are unanimous in endorsing this program. We pledge ourselves to promote it in every suitable forum, determined to take it to Congress in 1976, a symbolic year for the nation and for its libraries.

Two landmark pieces of legislation are due to expire in 1976—the Library Services and Construction Act and the Higher Education Act. We believe that these two acts should not expire, but we also believe that they must be transformed.

We trust that our declaration provides a field upon which we can deploy the forces for dynamic political action.

ATTENDEES

Urban Libraries Council

Dr. Arthur C. Banks, President, Greater Hartford Community College, Hartford, Conn. 06106.

Randolph A. Brown, Secretary, Urban Library Council, Louisville, Ky. 40202.

Mrs. Mary Crisman, Director Emeritus, Tacoma Public Library, Tacoma, Wash. 98402.

Ervin J. Gaines, Director, Cleveland Public Library, Cleveland, Ohio 44114.

Harold F. Herring, Trustee, Huntsville Public Library, Hunstville, Ala. 35801.

Alex Ladenson, Chicago Public Library, Chicago, Ill. 60602.

Right Reverend Edward G. Murray, Vice Chairman, Urban Library Council, Cambridge, Mass. 02138.

Paxton Price, Librarian, St. Louis Public Library, St. Louis, Mo. 63103.

Warren A. Reeder Jr., Treasurer, Urban Library Council, Hammond, Ind. 46324.

Bruce D. Smith, Trustee, Minneapolis Public Library, Minneapolis, Minn. 55401.

Academic and other public libraries

Melvin R. George, Library Director, Northeastern Illinois University, Chicago, Ill. 60625.

Roger K. Hanson, Library Director, University of Utah, Salt Lake City, Utah 84112.

Gustave A. Harrer, Library Director, University of Florida, Gainesville, Fla. 32611.

John A. Hudson, Librarian, University of Texas at Arlington, Arlington, Tex. 76019.

W. Carl Jackson, Dean of Libraries, Indiana University, Bloomington, Ind. 47401.

Mrs. Clara Jones, Library Director, Detroit Public Library, Detroit, Mich. 48202.

Joseph S. Komidar, Library Director, Tufts University, Medford, Mass. 02155.

Dr. Isaac T. Littleton, Library Director, North Carolina State University, Raleigh, N.C. 27607.

Harry M. Rowe Jr., County Librarian, Orange County Public Library, Orange, Cal. 92668.

Hal B. Schell, Dean and Director of Libraries, University of Cincinnati, Cincinnati, Ohio 45221.

G. P. Stokes, Assistant Library Director, San Francisco Public Library, San Francisco, Cal. 94102.

Paul Vassallo, Library Director, University of New Mexico, Albuquerque, N.M. 87106.

Guests of the conference

Jack G. Duncan, Counsel, Subcommittee on Select Education, U.S. House of Representatives, Washington, D.C.

Robert Wedgeworth, Executive Director, American Library Association, Chicago, Ill. 60611.

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PUBLIC LIBRARIES, HIT BY MONEY TROUBLES, DETERIORATE RAPIDLY

SYSTEMS LIKE CLEVELAND'S CUT HOURS, PUT OFF REPAIRS, FREEZE BOOK PURCHASES—ONE WOE: SUBURBAN USERS

(By Rich Jaroslovsky)

CLEVELAND.—Residents here like to call their public library "the most civilized spot in downtown Cleveland.'

Shoppers, students, clerks, secretaries, businessmen—all pass through the stately, 50-year-old building on a typical day. During the summer, many tote brown-bag lunches to eat in the library's outdoor garden as they read books or listen to soothing, piped-in classical music. Even on a gray autumn day, old men sit reading their newspapers, or retire indoors to the warmth of the stacks.

Lately, though, civilization has been in decline. The roof leaks, and paint and plaster are peeling. Many chairs and tables are old and shabby. And the elderly men must now seek warmth and quiet elsewhere after 6 p.m., and on Sundays.

Other signs of deterioration aren't as readily apparent. Departing personnel at the main library and its 35 branches usually aren't replaced. Wages are so low that as recently as last year, some employes earned less than the federal poverty standard. And new-book purchases for the system—which has the fourth largest municipal-library collection in the country—have been frozen several times for months at a stretch. "Urban institutions don't collapse overnight," says Ervin Gaines, the library's director. "They crumble. And that's what's happening here."

A NATIONAL ASSET

Cleveland's isn't the only library system with major problems. Many of the nation's biggest and most respected urban libraries, faced with smaller budgets and higher costs, are finding it nearly impossible to make ends meet these days. Unless something is done soon, they warn, irreparable damage could befall what Mr. Gaines calls "one of our great national assets."

Public libraries are by now fixtures in most communities. The first ones were established in New England in the early 1800s, and there are now more than 7,000 systems throughout the country. Many big-city public libraries, founded for the most part in the late 19th and early 20th Centuries, have grown into major research and cultural centers. These are the ones that now face the worst problems.

Many such systems have already felt stunning blows and are bracing for the possibility of more to come. For instance, the Chicago Public Library recently faced the prospect of a $1.5 million deficit by yearend, despite a cost-cutting program that included a hiring freeze, suspension of all new-book purchases and a reduction of 3½ hours a week in the library's hours of operation.

At an emergency meeting with city officials, Mayor Richard Daley pledged funds to tide the system over until the end of the year. Beyond that, its prospects are uncertain. "Mayor Daley says we have to be optimistic, but frankly, I'm not to optimistic myself," says David Reich, the city's chief librarian.

COSTLIER BOOKS AND MAGAZINES

In New York City, a plan proposed last year to close three of the system's 83 branches aroused strong protest from residents in the affected neighborhoods. The outcry helped keep the branches open, but the city's current fiscal crisis has forced the system to contemplate far more drastic measures. John Cory, director of libraries in Manhattan, the Bronx and Staten Island, estimates that the system's hours of operation and level of service have already been cut in half (some branches are now open only one or two days a week). He predicts that "a lot more than three branches" will have to be shut down next year.

Mr. Cory maintains that the city's financial crisis, while exacerbating the library's problems, "definitely didn't cause them." The library's troubles, he says, were brewing long before the city's financial plight became acute. "Our problems are the problems shared by all urban public libraries," he observes. "They just seem to reach a critical point here earlier than they do in the rest of the country."

One of the biggest of those problems is inflation. The Cleveland library points out that book costs have risen between 20 percent and 50 percent in the past three years, while magazine and newspaper subscriptions are increasing by about 30 percent a year. Utilities, supplies, maintenance and labor also cost more, library officials note.

HOSPITAL WARDS OR LIBRARY BOOKS?

At the same time, revenue is drying up. Most library systems rely on some form of property tax for the bulk of their funding, and they feel the pinch as tax-generating industry and residents flee cities for the suburbs. (A few libraries, like Cleveland's, also receive money from an "intangibles tax" on income from securities.) Even efforts to revitalize eroding inner cities offer litle immediate help, St. Louis librarian Paxton Price says. One reason is that redeveloped property is often a tax break, thereby reducing the amount of money from that source.

In cities that apportion tax dollars rather than earmarking a specific levy for library support, the library system must often compete for funds with more essential services. "If my kid gets hit by a car, I'd rather have another emergency hospital ward than another book in the library," says Kevin Starr, San Francisco's city librarian. As a result, he observes, "libraries are the DEW line of budget cuts, the first to go."

Moreover, many urban libraries bear the extra expense of operating a research collection of scholarly works, government documents and the like, in addition to the more widely circulated general or "popular" collection. "It's a library's research capabilities that sets it apart from others," says Cleveland's Mr. Gaines. "We're often the only place outside of a few universities that have this kind of specialized information."

As a result, residents of many suburbs and smaller cities—whose libraries don't share either their big brothers' woes or their resources—turn to the urban libraries for help. "The end result is that the Cleveland taxpayer has to pay for a suburban company that wants to know about pollution-control requirements," observes Mr. Gaines.

One way to equalize this burden, according to many urban library officials, would be a sharp increase in state and federal aid. "If education is a state and federal concern, so are libraries," Mr. Gaines declares. "It's reached the point where local jurisdictions are simply powerless to deal with many of the problems and inequities of the system."

Even in Houston, where a booming economy and expanding tax base have enabled the library system to nearly quadruple its budget since 1967, "things are bound to level off sometime," says David Henington, library director. "It's impossible to expect local government to continue full support indefinitely," he adds.

Some officials fear that an increase in outside funding would lead to increased outside control over how the funds are spent. "You have to retain an element of responsiveness to the people, which is best accomplished by local control," contends Philip McNiff, director of Boston's Library system. But he, too, agrees that outside money is needed. Even though Boston's system of partial state aid "is currently working very well," he says, a balanced system of local, state and federal funding would insure stability. "It's unreasonable to expect local taxpayers to support out-of-town users," he says.

While librarians endorse the principle of balanced funding, many don't think there's much chance of establishing such a system in the near future. San Francisco's Mr. Starr, for example, says it's unrealistic to expect much money from the states. "They're almost as bad off as we are," he says. "They simply haven't got the money. The federal government is the only answer."

Yet this, too, promises to be a dry hole. Congress has appropriated $49.2 million for library aid under the Library Services and Construction Act this year, a figure that the Ford administration wants to see cut to $10 million. But many urban library officials are asking that the current appropriation be boosted to about $400 million within four years. New York City's Mr. Cory says, "Under this administration, the chance of an increase in federal aid is nil."

With help from outside channels increasingly unlikely, some big-city systems are again turning to their beleaguered local taxpayers. In Cleveland, for example, the library is seeking voter approval this November of a property-tax that would add an extra $4.1 million annually to its coffers for the next five years. A similar proposal was narrowly defeated last year, and Mr. Gaines says "further deterioration of the system is inevitable" if the current request loses. In St. Louis, Mr. Price says the library will have to seek a tax increase before the end of the decade. "Given the temper of the voters," he adds, "I'm not sure we can win it."

For others, the prospect is continual belt-tightening. In San Francisco, Mr. Starr says, "the best we can hope for is a holding pattern. Our book budget this year is $650,000, which is ridiculously low, but it's a miracle we got what we got."

In New York, the situation may be grimmest of all. "At least for the next three years, the only forecast we can make is for continued attrition and shrinkage of quantity and quality of service," Mr. Cory says. "Within a very short time, we'll be reduced to what can only be considered a token level of service."

At least some officials think the slide will be checked before most other city systems sink to that level. "It's not a question of building more research libraries. It's a question of saving the ones we've got," Cleveland's Mr. Gaines says. "Despite the current climate. I just don't think the cities are ready to let us fall."

Mr. Starr agrees. "I think the prospects are good that something will eventually happen. American life is crisis-oriented. When the situation gets bad enough, the people will scream loud enough to put pressure on the local politicians, who'll put enough pressure on the federal government to get something done. My only hope is that libraries won't be too far gone when help does come."

Mr. BRADEMAS. Thank you very much, Dr. Gaines.

Let me ask you two or three questions.

In your statement, you allude to the key recommendation of the report of your council that the Federal Government should provide approximately 20 percent of the funding for public libraries. What is that percentage today?

Mr. GAINES. Probably less than 5 percent, sir.

Mr. BRADEMAS. You also indicate that States should be stimulated through the LSCA to provide State aid to local libraries. Would you, in light of that recommendation, agree with Ms. Martin's recommendation that there be some limitation on the amount of money that States can expend from LSCA funds under title I for administrative costs, services and indirect costs?

Mr. **Gaines.** Absolutely.

Mr. **Brademas.** I note, also, though you did not say it in your statement, that in the position paper of the Conference on Library Funding you quote Robert Wedgeworth, executive director of the ALA, saying that only 1 percent of general Federal revenue shares has gone toward the support of libraries.

Could you expand on that point, as well as on the related point you made in your own statement that general revenue sharing does not reach libraries in any significant amounts?

Perhaps you could comment from the viewpoint of Cleveland or indeed from the viewpoint of the 22 cities in your council.

Mr. **Gaines.** I could say with respect to Cleveland, we have received no Federal revenue sharing money. Cleveland, as you know, is in serious condition, and the city is not about to share any of that money with the library.

The American Library Association did collect some data, which, I believe, was submitted to this committee, verifying and supporting Mr. Wedgeworth's statement.

Any figures that I have seen indicate that not more than 1 percent of the revenue sharing money has gone to libraries and most of it has been replacement money.

I was talking the other day to the director of libraries in Philadelphia. He said they received something like $13 million over the last 2 or 3 years, but all of the local money was reduced by a similar amount, and hence, the effect was zero.

Mr. **Brademas.** To return to the question of State aid, is that a problem in Ohio? Does Ohio give State aid for its local libraries?

Mr. **Gaines.** I think Ohio is not a very good example, because libraries are fairly well supported in Ohio through the unique institution known as the intangible tax. And I really think you should look to other States.

I am sure the State of Ohio feels that it does support libraries because through State legislation this tax on intangible income does go to libraries, but it is a unique State.

But, yes, I think that the State aid to libraries can be stimulated if, as a quid pro quo for receiving Federal aid, the States must put up something in order to receive the money.

Mr. **Brademas.** Finally, Dr. Gaines, in light of the difficulties which have been experienced by New York City in meeting its financial problems, are you saying generally that the financial plight of many large cities is felt significantly by libraries? In that connection, I think I am right in saying that you in Cleveland had a unique situation in making up a deficit, did you not?

Mr. **Gaines.** We had a tax levy referendum in November, and we won.

I would say that Cleveland at the moment is not one of the libraries I am talking about that is in need of Federal aid.

I think, again, we are in a unique situation. Cleveland now has about $16 per capita to support its libraries, and the average around the United States is only somewhere between $4 and $5. If that is the average, you must believe that many, many cities are below $4 per capita, and you cannot run a library service that is worthwhile on that kind of money.

Mr. **Brademas.** Thank you very much, Dr. Gaines. This has been a most helpful statement.

Next we are pleased to hear from Alphonse F. Trezza.

Mr. Trezza.

STATEMENT OF ALPHONSE F. TREZZA, EXECUTIVE DIRECTOR, NATIONAL COMMISSION ON LIBRARIES AND INFORMATION SCIENCE

Mr. **Trezza.** My name is Alphonse F. Trezza, executive director, of the National Commission on Libraries and Information Science.

The National Commission on Libraries and Information Science, a permanent and independent agency, is charged under Public Law 91-345 with developing and recommending to the Congress and the President overall national plans for libraries and information services and for the coordination of activities at the Federal, State and local levels to meet the library and informational needs of the Nation. In addition, the Commission is authorized to advise Federal agencies regarding library and information services.

In May of this year the NCLIS officially adopted and transmitted to the Congress and the President its national program document "Toward a National Program for Library and Information Services: Goals for Action." This document is a long-range program for the development of an integrated national network of libraries and information services to meet the immediate and foreseeable information requirements of the greatest possible number of people. The Commission will continue to concentrate its efforts in the years ahead on this ideal:

To eventually provide every individual in the United States with equal opportunity of access to that part of the total information resource which will satisfy the individual's educational, working, cultural and leisure-time needs and interests, regardless of the individual's location, social or physical condition or level of intellectual achievement.

To make progress toward the attainment of this goal, the Commission has developed two major program objectives: (1) To strengthen, develop, or create where needed, human and material resources which are supportive of high quality library and information services; and (2) to join together the library and information facilities in the country, through a common pattern of organization, uniform standards, and shared communications, to form a nationwide network. Such a program must have incentives strong enough to encourage maximum cooperation and participation, not only by States and local governments, but by interested public and private agencies as well.

The Federal Government would have responsibility for aiding in the development of compatible State and multistate networks, furthering common practices, performing relevant research and development, increasing coordination between the private and public sectors, improving access to the information resources of Federal agencies, and performing other relevant functions.

National goals in the field of library and information service cannot be achieved unless there is careful articulation between local, State, multistate, and national planning. It is the Commission's view that each of these levels in the nationwide program should bear its share of the total financial burden. For example, the Federal Government would fund those aspects of the network which support national objectives, and stimulate statewide and multistate library development needed to support the national program. The State government would accept the major share of the cost of coordinating and of supporting the intrastate components of the network, as well as part of the cost of participating in multistate planning operations. Each State must recognize its responsibility to develop and sustain its own statewide program of library and information service. Such a program must commit the State to provide funding or matching funding for development of resources and services, including special forms of statewide network assistance and specialized services.

Responsibility for fostering the coordination of library resources and services throughout a State has usually been assigned to a State library agency or to another agency with the same legal authority and functions. This agency is the natural focus for statewide planning and coordination of cooperative library and information services and for coordinating statewide plans with those of the Federal Government. Such agencies must solicit the widest possible participation of library, information, and user communities.

Several States such as Illinois, New York, and Washington already have operational systems or networks which are in harmony with the Commission's program. The 50 States, however, must make a firm commitment to continuing support and funding of library and information activities at a level commensurate with the needs of their constituents.

Proposed Federal legislation in support of library and information services must recognize that the States are at varying stages of developing their services; some States have not yet initiated plans, and others are in the early stages of planning, while still others are already implementing sophisticated programs. Some States have networks organized by type of library, others have networks that include all types of libraries, and still others have networks that include information agencies as well as libraries.

Federal-State funding formulas must, therefore, be devised which will take into account these differences among the States and provide the means for supporting various levels of development.

Funding: Beginning in 1956, with the passage of the Library Services Act by the Congress, the Federal Government has gradually assumed responsibility for programs of financial assistance to libraries. There are some who view the continued financial support of libraries by the Federal Government with alarm, because of the inferred fear that the bureaucracy will, sooner or later, stifle intellectual freedom.

Certainly, the availability of Government money for libraries during the past 20 years disproves this theory. The Commission believes that the American public not only accepts the principle of Federal funding for libraries, but also equates it with the Federal responsibility for public education.

In 1973, the administration recommended the elimination of Federal grant programs for libraries. It recommended revenue sharing as an alternative method of supporting libraries, and the General Revenue Sharing Act qualified libraries to receive appropriations for operating expenses.

The preponderance of testimony to the Commission indicates that the revenue sharing mechanism does not work well for libraries. The revenue-sharing mechanism is unsatisfactory for libraries because it forces them to compete for funds with local governments and their utilitarian agencies, such as the police and fire departments.

As educational agents in the community, libraries provide long-range services to all people, but, unfortunately, it is difficult to justify this as a local priority when conspicuous utilitarian problems need immediate correction. As a result, city officials in some cities are reluctant to share some revenue with libraries.

Indications received by the Commission thus far reveal that, in some localities, revenue-sharing money is offsetting normal operating budgets of libraries, rather than providing them with funds for new programs and services. In such circumstances, it is unlikely that revenue-sharing funds will have any impact at all on cooperative action programs or intersystem planning.

Recent actions by the Congress have restored appropriations for many of the categorical aid programs which were eliminated, but the policy of the administration continues to favor their eventual termination. The U.S. Comptroller, Elmer B. Staats, has stated that an effective Federal fiscal policy requires a mix of funding programs—categorical grants, block grants, revenue sharing, and tax expenditure.

Categorical grants serve the purpose of dealing with designated problems of national concern in a specific and uniform manner, and with maximum involvement of State and local governments. Such grants are particularly valuable for research and demonstration activities and when the overriding objective is to prescribe a minimum level of service.

The National Commission is firmly committed to the continuation of categorical grants as part of the national program. Although past Federal funding achieved many worthwhile objectives, the results fell short of the original goals, and much more remains to be done. The proposed national program would coordinate and reinforce all Federal efforts to support local and specialized services and, at the same time, provide a national framework for planned, systematic growth of library and information services in the public and private sector.

As part of its activities, the Commission has just funded a study to evaluate the magnitude and effectiveness of Federal funding for libraries under LSCA and the fiscal impact of general revenue sharing on libraries. The outcome and recommendations of the study will be available late in 1976, and will serve as the basis for further recommendations on the Federal role in the funding of public libraries.

Recommendations: The National Commission on Libraries and Information Science, at its September 1975 meeting, passed a resolution which strongly urges the continuation of LSCA as a basic component of Federal funding for public libraries. The Commission, however, equally strongly urges the revision of LSCA.

The recommended revisions deal with the problems and weaknesses that have developed in the administration of LSCA at both the State and Federal level over the past 20 years. LSCA has been a most effective program. Its cost benefit cannot be doubted, but good responsible planning and evaluation requires us to be candid, to recognize our weaknesses, and, more importantly, to recognize the means to correct deficiencies.

We must have an extension of LSCA—it must be revised—the program must be forward funded at an effective level. LSCA, title III, funds must be increased; attention to the funding problem of urban libraries must be dealt with on a fair and equitable basis.

The Commission's recommended revisions and funding levels are as follows:

(*a*) Revise the act to insure that Federal funds will not be substituted for State funds nor used as a substitute for adequate State support for the function of the State library agency. Provide a limitation on expenditures by State library agencies of 10 percent for administrative purposes—I see that is one we all agree on.

(*b*) LSCA, title I, funds be matched by State appropriations only.

(*c*) Statutory time limitation on the use of LSCA funds for the State administration of LSCA insuring that more LSCA funds are distributed to eligible libraries—we have the problem where some States will carry over their funds too many years, not making them available on the year or two that it was intended.

(*d*) Assurance of an equitable distribution of LSCA, title I, funds to support the strengthening of urban public libraries.

(*e*) Administration and fiscal provisions of LSCA to be structured to strengthen, stimulate, and require State and local support.

(*f*) Merger of title III of LSCA and the multitype Library Partnership Act providing for the establishment of a local-State-Federal partnership program for the purpose of encouraging and sustaining an adequate system of libraries.

(*g*) Revise LSCA to include provisions for forward funding to help resolve the recurring problems of uncertainty, late allocations, and other administrative problems which interfere with effective planning at the national, State, and local level.

(*h*) The funding level for fiscal year 1977 for LSCA, title I, be at a level not less than the fiscal year 1976 appropriation; title II at a minimum level of $9 million; title III, including the Library Partnership Act, at a minimum level of $15 million; title IV, Older American Services, at a minimum level of $2 million, and.

(*i*) That there be a reexamination of the authorized level of funding and the national priorities specified in LSCA and of the requirements for effective long-range planning.

I very much appreciate the opportunity to appear before you and to share the Commission's thinking with you in keeping with our legal responsibility of advising the Congress on problems, programs and legislative action in the area of library and information services.

[The prepared statement of Alphonse F. Trezza follows:]

Prepared Statement of Alphonse F. Trezza, Executive Director, National Commission on Libraries and Information Science

My name is Alphonse F. Trezza, Executive Director, of the National Commission on Libraries and Information Science.

The National Commission on Libraries and Information Science, a permanent and independent agency, is charged under Public Law 91–345 with developing and recommending to the Congress and the President overall national plans for libraries and information services and for the coordination of activities at the Federal, state and local levels to meet the library and informational needs of the nation. In addition the Commission is authorized to advise Federal agencies regarding library and information services.

In May of this year the NCLIS officially adopted and transmitted to the Congress and the President its national program document Toward a National Program for Library and Information Services: Goals for Action. This document is a long range program for the development of an integrated national network of libraries and information services to meet the immediate and foreseeable information requirements of the greatest possible number of people. The Commission will continue to concentrate its efforts in the years ahead on this ideal:

To eventually provide every individual in the United States with equal opportunity of access to that part of the total information resource which will satisfy the individual's educational, working, cultural and leisure-time needs and interests, regardless of the individual's location, social or physical condition or level of intellectual achievement.

To make progress toward the attainment of this goal, the Commission has developed two major program objectives: (1) to strengthen, develop, or create where needed, human and material resources which are supportive of high quality library and information services; and (2) to join together the library and information facilities in the country, through a common pattern of organization, uniform standards, and shared communications, to form a nationwide network. Such a program must have incentives strong enough to encourage maximum cooperation and participation, not only by states and local governments, but by interested public and private agencies as well.

The Federal Government would have responsibility for aiding in the development of compatible state and multistate networks, furthering common practices, performing relevant research and development, increasing coordination between the private and public sectors, improving access to the information resources of Federal agencies, and performing other relevant functions.

ROLE OF THE STATES

National goals in the field of library and information service cannot be achieved unless there is careful articulation between local, state, multistate, and national planning. It is the Commission's view that each of these levels in the nationwide program should bear its share of the total financial burden. For example, the Federal Government would fund those aspects of the network which support national objectives, and stimulate statewide and multistate library development needed to support the national program. The state government would accept the major share of the cost of coordinating and of supporting the intrastate components of the network, as well as a part of the cost of participating in multistate planning operations. Each state must recognize its responsibility to develop and sustain its own statewide program of library and information service. Such a program must commit the state to provide funding or matching funding for development of resources and services, including special forms of statewide network assistance and specialized services.

If this type of quid pro quo philosophy were adopted, and if incentive formulae were worked out to make local, state, multistate, and national financing mutually reinforcing, then a nationwide network could grow from the bottom up. To achieve this goal, however, requires that the responsibilities of the various levels be well defined, that financial obligations be clearly recognized and that legal commitments be made possible through appropriate statutes. Some states may decide to provide funding for the further development of library and information services within the state, while other states may elect to share funding with local governments.

Responsibility for fostering the coordination of library resources and services throughout a state has usually been assigned to a state library agency or to another agency with the same legal authority and functions. This agency is the natural focus for statewide planning and coordination of cooperative library and information services and for coordinating statewide plans with those of the Federal Government. Such agencies must solicit the widest possible participation of library, information, and user communities. Several states such as Illinois, New York, and Washington already have operational systems or networks which are in harmony with the Commission's program. The fifty states, however, must make a firm commitment to continuing support and funding of library and information activities at a level commensurate with the needs of their constituents.

State library agencies have a major role to play in the development of a nationwide program of library and information service. Many of these agencies now serve a significant planning and coordinating function in their respective states or in a multistate complex. Therefore, they should be considered partners by the Federal Government in developing and supporting useful patterns of service. Among the benefits which could accrue from such a partnership are greater possibilities for compatible programs and sustained funding through mutually-supportive efforts.

Proposed Federal legislation in support of library and information services must recognize that the states are at varying stages of developing their services; some states have not yet initiated plans, and others are in the early stages of planning, while still others are already implementing sophisticated programs. Some states have networks organized by type of library, others have networks that include all types of libraries, and still others have networks that include information agencies as well as libraries. Federal-state funding formulae must, therefore, be devised which will take into account these differences among the states and provide the means for supporting various levels of developments.

FUNDING

Beginning in 1956, with the passage of the Library Services Act by the Congress, the Federal Government has gradually assumed responsibility for programs of financial assistance to libraries. There are some who view the continued financial support of libraries by the Federal Government with alarm, because of the inferred fear that the bureaucracy will, sooner or later, stifle intellectual freedom. Certainly, the availability of government money for libraries during the past twenty years disproves this theory. The Commission believes that the American public not only accepts the principle of Federal funding for libraries, but also equates it with the Federal responsibility for public education.

Federal assistance programs for libraries have been for the acquisition of materials, the provision of new services, library training and research, new building construction, aid to special groups, and so forth. They have affected public libraries, school libraries, college and university libraries. A small portion of the funds under Title III of LSCA have also been available for interlibrary cooperation. For Fiscal 1976, the total sum in the Federal budget for library grant programs amounts to $218 million.

In 1973, the Administration recommended the elimination of Federal grant programs for libraries. It recommended revenue sharing as an alternative method of supporting libraries, and the General Revenue Sharing Act qualified libraries to receive appropriations for operating expenses. The preponderance of testimony to the Commission indicates that the revenue sharing mechanism does not work well for libraries. The revenue sharing mechanism is unsatisfactory for libraries because it forces them to compete for funds with local governments and their utilitarian agencies, such as the police and fire departments. As educational agents in the communtiy, libraries provide long-range services to all people, but, unfortunately, it is difficult to justify this as a local priority when conspicuous utilitarian problems need immediate correction. As a result, city officials in some cities are reluctant to share some revenue with libraries. Indications received by the Commission thus far reveal that, in some localities, revenue sharing money is offsetting normal operating budgets of libraries, rather than providing them with funds for new programs and services. In such circumstances, it is unlikely that revenue sharing funds will have any impact at all on cooperative action programs or intersystem planning.

Recent actions by the Congress have restored appropriations for many of the categorical aid programs which were eliminated, but the policy of the Administration continues to favor their eventual termination. The U.S. Comptroller, Elmer B. Staats, has stated that an effective Federal fiscal policy requires a mix of funding programs—categorical grants, block grants, revenue sharing, and tax expenditure. Categorical grants serve the purpose of dealing with designated problems of national concern in a specific and uniform manner, and with maximum involvement of state and local governments. Such grants are particularly valuable for research and demonstration activities and when the overriding objective is to prescribe a minimum level of service.

The National Commission is firmly committed to the continuation of categorical grants as part of the National Program. Although past Federal funding achieved many worthwhile objectives, the results fell short of the original goals, and much more remains to be done. The proposed National Program would coordinate and reinforce all Federal efforts to support local and specialized services and, at the same time, provide a national framework for planned, systematic growth of library and information services in the public and private sector.

As part of its activities, the Commission has just funded a study to evaluate the magnitude and effectiveness of Federal funding for libraries under LSCA and the fiscal impact of general revenue sharing on libraries. The outcome and recommendations of the study will be available late in 1976, and will serve as the basis for further recommendations on the Federal role in the funding of public libraries.

RECOMMENDATIONS

The National Commission on Libraries and Information Science, at its September 1975 meeting, passed a resolution which strongly urges the continuation of LSCA as a basic component of Federal funding for public libraries. The Commission, however, equally strongly urges the revision of LSCA. The recommended revisions deal with the problems and weaknesses that have developed in the administration of LSCA at both the state and Federal level over the past twenty years. LSCA has been a most effective program. Its cost benefit cannot be doubted, but good responsible planning and evaluation requires us to be candid, to recognize our weaknesses, and, more importantly, to recognize the means to correct deficiencies. We must have an extension of LSCA—it must be revised—the program must be forward funded at an effective level. LSCA, Title III, funds must be increased—attention to the funding problem of urban libraries must be dealt with on a fair and equitable basis. Urban public libraries are a basic part of any state library network, but they must not be the tail to wag the dog.

The Commission's recommended revisions and funding levels are as follows:

(*a*) Revise the Act to ensure that Federal funds will not be substituted for state funds nor used as a substitute for adequate state support for the function of the State Library Agency. Provide a limitation on expenditures by State Library Agencies of 10 percent for administrative purposes.

(*b*) LSCA, Title I, funds be matched by state appropriations only.

(*c*) Statutory time limitation on the use of LSCA funds for the state administration of LSCA ensuring that more LSCA funds are distributed to eligible libraries.

(*d*) Assurance of an equitable distribution of LSCA, Title I, funds to support the strengthening of urban public libraries.

(*e*) Administration and fiscal provisions of LSCA to be structured to strengthen, stimulate, and require state and local support.

(*f*) Merger of Title III of LSCA and the multitype Library Partnership Act providing for the establishment of a local-state-Federal partnership program for the purpose of encouraging and sustaining an adequate system of libraries and for the further development of networks which extend and expand the use of the resources of school, public, academic, and special libraries and information centers.

(*g*) Revise LSCA to include provisions for forward funding to help resolve the recurring problems of uncertainty, late allocations, and other administrative problems which interfere with effective planning at the national, state, and local level.

(*h*) The funding level for fiscal year 1977 for LSCA, Title I, be at a level not less than the FY 1976 appropriation; Title II at a minimum level of $9 million; Title III, including the Library Partnership Act, at a minimum level of $15 million; Title IV, Older American Services, at a minimum level of $2 million, and

(*i*) that there be a re-examination of the authorized level of funding and the national priorities specified in LSCA and of the requirements for effective long-range planning.

I very much appreciate the opportunity to appear before you and to share the Commission's thinking with you in keeping with our legal responsibility of advising the Congress on problems, programs and legislative action in the area of library and information services.

Mr. **Brademas**. Thank you very much. First, let me commend you and the members of the National Commission on Libraries and Information Science for clearly having taken so seriously your legislative mandate by addressing yourselves to substantive problems and offering concrete recommendations with respect to them.

I would also say that we shall look forward to seeing that study in late 1976, and if I am still chairman of this subcommittee, I assure you that we will want you to come up and present the study and hold a hearing on it so that members of the Commission can have a chance to describe their recommendations and to hear the questions of members of the committee.

Of course, I would hope that the new President, however he or she may prove to be, will study whatever recommendations your Commission produces.

I have two or three questions, Mr. Trezza.

Could you comment on the relationship between the National Commission and the White House Conference on Library and Information Services?

Mr. **Trezza**. The National Commission, as you know from the Act on the White House Conference, is responsible for implementing the White House Conference on Library and Informations Services.

What we did was take our immediate action on the signing of the law on December 31, 1974, by the President, and we appointed the three Commissioners who would be on the Advisory Council to the White House Conference.

Mr. **Brademas**. Have you done that?

Mr. **Trezza**. We did, working with the American Library Association and many others. We urged the two Houses to make their appointments.

As you know, they did, and they appointed 10, which gives us 13 of the 28.

We also immediately officially requested the Administration, one, to make the appointments, two, to call the White House Conference, which the language of the bill says not later than 1978, and, three, to request the appropriation of $3.5 million.

We have now made that request four times in 1 year. We made it for supplemental 1975 appropriation; we made it for the 1976 appropriation. We made it for the supplemental 1976 appropriation, and we have again made it then for 1977.

Now, officially we have been turned down there. We have been informed on the fourth one, but the President's budget has not been sent up yet and I guess I should not specify what that was.

But their view runs something like this:

First, they feel that it is inflationary. We tried to point out that spending $3.5 million in a period of 3½ years is not, in our belief, inflationary.

Second, it has been labeled an initiative. We indicate that it was started in 1969 by President Ford himself, as minority leader, and signed by the President in 1974.

Third, they say that it will tend to raise people's expectations. Therefore, they feel the demand on the Administration and Congress for more and more programs and more and more money will be forthcoming.

We are in a position where this is not going to be possible in the foreseeable future. Therefore, it is going to cause frustration and, consequently, their recommendation is that we forget it.

Mr. Brademas. The last point is what is called a self-fulfilling prophecy.

Could you expand a bit on the observation that runs through your testimony and the recommendations of the Commission to encourage a greater effort in support of libraries on the part of the States?

You noted in your testimony that States are at varying stages in developing their services. You say in point (e) that the fiscal provisions in the administration of LSCA be structured to strengthen, stimulate and require State and local support, and you use the phrase elsewhere in your statement of "incentive formulas."

Could you tell us a little more specifically what you have in mind, at least so far as what this legislation could do more effectively to give incentives to the States to support libraries?

Mr. Trezza. I would be glad to.

I just finished a term as State Librarian for the State of Illinois for slightly less than 6 years. In fact, I finished my last official duty last Friday in Illinois on a LSCA Advisory Committee project.

My direct experience indicated that where the Federal legislation and the rules and regulations made it possible for a State to use their LSCA funds instead of State funds, rather than in addition to, they did so.

In Illinois, we tried very hard to convince the legislature that the intent of the act was not that, and we succeeded. We started in 1965 with a program there. We had no State aid whatsoever, and in less than 4 years, we went from nothing to $6 million. And today it is over $10 million, and we used exactly $1 million for 2 years running—half a million for 2 more years—total LSCA funds.

In other words, what we used was $3 million over a period of 4 years, and that was it. And we phased it out for State funding.

We then turned to LSCA funds for additional projects, additional programs for the State.

If you can do that in a State where the State legislature and Governor's office feel that you can't do it otherwise, but when a State has had a problem or disagreement between the philosophy of a State agency and the government, and has appealed to Washington for clarification or interpretation, the interpretation coming from the Office of Libraries and Learning Resources has always been that that was permissible. And we are saying, if you say that you, in effect, have opened the door for States to use those funds for State purposes—for running their own State agencies or for problems which are really the State responsibility. I agree when the Administration says, for example, that the Federal Government has a role which is different than the States, consequently, the State must exercise its own role, and they feel, given enough incentive, now, let the States share the responsibility and take it over.

We maintain that the principle is correct, but the time is wrong. And we maintain by doing the kind of things we are saying in the regulations, we will make it possible for States not to use their Federal funds for legitimate State funding purposes.

We still need to bring the States up to the different levels. There is going to be time to make the transition from where we are today to where we will be in the future. You can't suddenly say next year that you can't use it any more; you have to make some transition.

I think this makes good sense, but you word the law and rules and regulations in such a way so that these funds are additional funds, the same revenue-sharing problems.

We are saying that Federal funds, no matter what the source, must not be used as a replacement for local and State funds, but as additional, incentive money. You put teeth in it if you say that you can have *x* dollars in Federal funds, then you will get the State funds.

Mr. BRADEMAS. Well, that is a very important point, and I will certainly call your testimony to the attention of Mr. Quie and other members of the committee and subcommittee who are particularly concerned with this legislation.

Your testimony has been very helpful, Mr. Trezza, and again, I want to commend you and the members of the Commission for the good job you have been doing.

I hope when Mr. Mattheis comes up next, he will tell us that the Administration has finally decided to name those other members of the White House Advisory Committee.

Mr. TREZZA. Thank you, Mr. Brademas, and I did send you a letter just the other day including our recommendations on the Higher Education Act extension, as well as on the James Madison Memorial Library problem.

Mr. BRADEMAS. I appreciate that, and I have your letter. Without objection we will include it in the record as well.

[The letter referred to follows:]

NATIONAL COMMISSION ON LIBRARIES AND INFORMATION SCIENCE,
Washington, D.C., December 11, 1975.

Hon. JOHN BRADEMAS,
Chairman, Select Education Subcommittee, U.S. House of Representatives, Washington, D.C.

DEAR MR. CHAIRMAN: At its September meeting, the National Commission on Libraries and Information Science passed a resolution on the extension and revision of the Library Services and Construction Act and the extension and revision of the Higher Education Act of 1965. Copies of the resolutions are enclosed herewith.

We have learned through continuous, careful planning and evaluation that there are certain weaknesses in LSCA and HEA that could be eliminated by Congress through legislation. We hope you will consider our resolutions in your deliberations concerning LSCA and HEA. If we can be of any further assistance, please do not hesitate to call on us.

Sincerely,

ALPHONSE F. TREZZA,
Executive Director.

Enclosures.

HIGHER EDUCATION ACT

FOR IMMEDIATE RELEASE

Stressing the basic role of academic libraries in a nationwide cooperative program of resource sharing, the National Commission on Libraries and Information Science has adopted a resolution calling for the extension and revision of the Higher Education Act of 1965. The resolution calls for fiscal year

1977 appropriations at the levels not less than the amount voted by Congress for fiscal year 1975.

As part of the implementation of its national program document, "Toward a National Program for Library and Information Services: Goals for Action," the Commission further recommends the replacement of the present Part C of Title II with a new authority. This would provide the ability to assist research libraries and urban public libraries which serve as major national research centers for collections and services broadly based and recognized as having national significance.

RESOLUTION ON HIGHER EDUCATION ACT OF 1965

Whereas, the nation's major research libraries are an essential element in undergraduate, advanced, and professional education and research upon which the nation depends; and

Whereas, the development of academic library collections is a continuing and ever more costly activity because of: rising costs for books, periodicals and staff; expansion in the scope of teaching and research programs; and the rapid increase in the worldwide production of recorded knowledge; and

Whereas, library research and demonstration projects have contributed positively to the development and testing of innovative concepts of library and information services; and

Whereas, research libraries, such as the major university library members of the Association of Research Libraries; independent research libraries, such as the John Crerar Library, the Huntington Library, and the Folger Library; and urban public libraries, such as the New York Public Library and the Boston Public Library, all of which serve as major national research centers because their collection and services are broadly based and recognized as having national significance; and

Whereas, resources of university and other research libraries, with collective resources of over 200 million volumes, have long been shared through a system of interlibrary lending and whereas under the existing system the costs of providing this service are becoming increasingly difficult for libraries to bear: now, therefore, be it

Resolved, That the Higher Education Act (HEA) of 1965 be revised and extended for three years on the following basis:

(*a*) Extend the Basic, Supplementary and Special Grant Program of HEA, Title II, part A, in its present form, to be funded at a minimum level not less than the amount appropriated in fiscal year 1975.

(*b*) Extend Title VI, part A, in its present form to be funded at a minimum level not less than the amount appropriated in fiscal year 1975.

(*c*) Continue the Library Training and Demonstration Programs authorized under Title II, part B, to be funded at a minimum level not less than the amount appropriated in fiscal year 1975.

(*d*) Replace the present HEA, Title II, part C, with a new authority to assist research libraries in accordance with the suggestion of the Carnegie Council on Higher Education. This program would strengthen and extend the capacity of research libraries collectively to provide the information services needed by the research community, as well as to serve as a national resource to all who need and desire it.

LIBRARY SERVICES AND CONSTRUCTION ACT

FOR IMMEDIATE RELEASE

The National Commission on Libraries and Information Science, firmly committed to the continuation of categorical aid as part of its national program, adopted a strongly-worded resolution calling for the revision and adoption of the Library Services and Construction Act (LSCA).

The Commission cited LSCA as an effective instrument in the extension and improvement of library services to millions of Americans in the 50 states and territories and as a catalyst for the sharing of resources among public, school, university, and special libraries and information centers.

NOTE. Adopted by the National Commission on Libraries and Information Science at its meeting on September 25 1975, in Los Angeles, California.

The views expressed are those of the NCLIS and do not necessarily reflect the position or policy of the Executive or Legislative Branches of the Government.

Forward funding, safeguards against substituting Federal funds for state funds, and the strengthening of LSCA, Title III (Interlibrary Cooperation) are among the nine recommendations in the resolution.

RESOLUTION ON LIBRARY SERVICES AND CONSTRUCTION ACT

Whereas, the Federal Library Services and Construction Act has been instrumental in extension and improvement of library services to millions of Americans in the fifty states and territories, and

Whereas, the Federal funds provided to the states and territories under this Act have encouraged the development of library services directed toward the daily information, education, research, cultural, and recreational needs of people, and

Whereas, these funds have enabled libraries to cooperate with both public and volunteer agencies in meeting the needs of disadvantaged people, persons in institutions, handicapped persons, and those of limited English-speaking ability, and to develop appropriate outreach services needed in both cities and rural areas, and

Whereas, the incentive of these Federal funds has assisted thousands of communities to secure from public and private sources the funds needed to construct library facilties adequate for today's library services, and

Whereas, interlibrary cooperation programs assisted by the Federal Library Services and Construction Act are encouraging and facilitating the sharing of resources among public, school, university, and special libraries and information centers to meet the increasingly sophisticated needs of readers, and

Whereas, the testimony of library users as well as that of librarians, library administrators, and trustees in regional meetings in 1973, 1974, and 1975 clearly indicate to the NCLIS the need for improvement in library service and for expansion of library systems and network development, and

Whereas, the 1970 amendments (Public Law 91–600) extended the Act through June 30, 1976, and

Whereas, the need for library and informaton services is accelerating: Now, therefore, be it

Resolved, That the Library Services and Construction Act (LSCA) be revised and extended for three years on the following basis:

(*a*) Revise the Act to ensure that Federal funds will not be substituted for state funds nor used as a substitute for adequate state support for the function of the State Library Agency. Provide a limitation on expenditures by State Library Agencies of 10 percent for administrative purposes.

(*b*) LSCA, Title I, funds be matched by state appropriations only.

(*c*) Statutory time limitation on the use of LSCA funds for the state administration of LSCA ensuring that more LSCA funds are distributed to eligible libraries.

(*d*) Assurance of an equitable distribution of LSCA, Title I, funds to support the strengthening of urban public libraries.

(*e*) Administration and fiscal provisions of LSCA to be structured to strengthen, stimulate, and require state and local support.

(*f*) Merger of Title III of LSCA and the multitype Library Partnership Act providing for the establishment of a local-state-Federal partnership program for the purpose of encouraging and sustaining an adequate system of libraries and for the further development of networks which extend and expand the use of the resources of school, public, academic, and special libraries and information centers.

(*g*) Revise LSCA to include provisions for forward funding to help resolve the recurring problems of uncertainty, late allocations, and other administrative problems which interfere with effective planning at the national, state, and local level; and be it further

Resolved, That the funding level for fiscal year 1977 for LSCA, Title I, be at a level not less than the FY 1976 appropriation; Title II at a minimum level of $9 million; Title III, including the Library Partnership Act, at a minimum level of $15 million; Title IV, Older American Services, at a minimum level of $2 million; and be it further

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NOTE. Adopted by the National Commission on Libraries and Information Science at its meeting on Sept. 26, 1975, in Los Angeles, Calif.

Resolved, That there be a re-examination of the authorized level of funding and the national priorities specified in LSCA and of the requirements for effective long-range planning. The views expressed are those of the NCLS and do not necessarily reflect the position or policy of the Executive or Legislative Branches of the Government.

Mr. BRADEMAS. May I say, as one who is concerned with libraries on this committee and also as a member of the House Administration Committee, where I sit on the Subcommittee on Libraries and Memorials, I am very pleased that the question of the Madison Library has been resolved in the manner in which it was.

That is not to say that I don't think we here in the House need more space, because I think we do, but that is another subject for another day.

Thank you, Mr. Trezza.

Now we are very pleased to hear from Duane Mattheis, Executive Deputy Commissioner of Education, accompanied by Dick W. Hays, Acting Director of the Office of Libraries and Learning Resources; Mr. Robert Klassen, Chief of the Program Development and Assistance Staff of the Office of Libraries and Learning Resources; Mr. Richard A. Hastings, Deputy Assistant Secretary for Legislation, Education; and Mr. Robert Wheeler, Deputy Commissioner for the Bureau of School Systems, of the Department of HEW.

We are very pleased to have all of you.

Our friend on the subcommittee and associate, Mr. Quie, could not be here this morning. I know he would want me to extend a particular word of welcome to you, sir.

PANEL FROM THE DEPARTMENT OF HEALTH, EDUCATION, AND WELFARE, WASHINGTON, D.C.: DUANE J. MATTHEIS, EXECUTIVE DEPUTY COMMISSIONER OF EDUCATION; DICK W. HAYS, ACTING DIRECTOR, OFFICE OF LIBRARIES AND LEARNING RESOURCES; ROBERT KLASSEN, CHIEF, PROGRAM DEVELOPMENT AND ASSISTANCE STAFF, OFFICE OF LIBRARIES AND LEARNING RESOURCES; RICHARD A. HASTINGS, DEPUTY ASSISTANT SECRETARY FOR LEGISLATION, EDUCATION; AND ROBERT WHEELER, DEPUTY COMMISSIONER FOR BUREAU OF SCHOOL SYSTEMS

Mr. MATTHEIS. Thank you very much.

Mr. Chairman, it is a pleasure to appear before your subcommittee this morning to discuss the administration's proposal for a new direction for Federal assistance to libraries. Our proposal, the Library Partnership Act, was transmitted on March 6 and is similar to S. 3944, which was introduced by Senator Javits during the 93d Congress. When the proposal was originally submitted, it was intended in part to replace the Library Services and Construction Act, which expires in fiscal year 1976 and is automatically extended for 1 year by the General Education Provisions Act, and to provide the basis for future Federal support for library service programs administered by the Office of Education.

The Administration is currently considering the Federal library program as part of the 1977 budget process. Any new position would be reflected in the President's fiscal year 1977 budget submittal. Our discussion today should be considered with that in mind.

The purpose of the original Library Services Act, enacted in 1956 and expanded in 1964 as the LSCA, was to provide Federal assistance to stimulate the States in the expansion and improvement of public library services in rural areas. In 1956, only 23 States had programs for statewide public library development. Expenditures under these programs amounted to $5 million. Rural areas suffered the most, with large segments of the population having little or no access to libraries. Twenty-six million rural residents were without any library services, and an additional 50 million citizens lived in areas with extremely inadequate service; 319 rural counties had no library services available within their confines.

Today, there are 38 States with grant-in-aid programs. Appropriations exceed $100 million; 95 percent of the population has access to some form of public library services. In addition, Federal general revenue sharing funds used for public libraries by State and local governments have increased greatly since the program was initiated. with $82.3 million being used for this purpose during fiscal year 1974.

In fiscal year 1975 the library resources appropriation of $207.8 million included not only support for public library services and interlibrary cooperative activities under the LSCA, but also support for the purchase of school and academic library materials and instructional equipment; library career training; and library demonstrations under the Elementary and Secondary Education Act (ESEA) and the Higher Education Act (HEA) authorities. Some of these efforts would also be combined under the proposed legislation.

Since the evidence indicates that the basic purpose of the public library legislation to stimulate the growth of library services has been achieved, we believe it is inappropriate for the Federal Government to continue a role of basic support for operation and construction. This is the responsibility of State and local governments. The proposed legislation was based on the premise that the Federal Government has a joint role with States and localities to encourage, support, and provide incentive capital for comprehensive informational services in interinstitutional cooperative patterns and to demonstrate these, as well as other related arrangements of new information delivery systems for libraries of all types.

Based on the evaluation study done under contract for the Office of Education by Systems Development Corp. entitled "The Public Library and Federal Policy" (1973), we concluded that the Nation's libraries involved in cooperative projects have successfully proven the value of cooperative local, State, and regional projects and networks in increasing services and dollar effectiveness. Let me give you a few examples, which are illustrative of this success:

LSCA title III and HEA title II–B have been instrumental in generating initial support for the Ohio College Library Center, a regional processing network, providing more than 500 academic and public libraries in 40 States access to cataloging data through 800 computer terminals. The data base includes 1.6 million records of titles from which libraries can produce their records and, in turn, save thousands of dollars in processing costs at the State and local levels. A number of States have joined the center's processing networks with LSCA title III funds.

Library coordination has been nurtured by State library agencies, local planners, and LSCA title III by developing operative regional library councils. For example, the Indiana General Assembly has enacted a Library Services Authority to encourage libraries of all types to coordinate their activities for the more efficient use of resources.

Because of the LSCA incentive capital, interlibrary cooperative activities have changed over the years in emphasis and focus from single-purpose projects involving more than one type of library to projects requiring all types of libraries within a geographic area to cooperatively assess needs, jointly develop plans and programs to meet needs, and jointly evaluate their institutional efforts. This requires a commitment from each type of library represented to see itself in relation to the total community and to the world of library and information services.

We, therefore, proposed that the Federal Government take a larger role in demonstrating improved methods of planning for the use of and processing resources and improving the delivery of information services and encouraging these cooperative patterns. The LPA "seed" money would also have offered incentives to local, State, and regional groups to work together to provide more accessible and comprehensive informational services to greater numbers of people.

At this point, Mr. Chairman, let me outline the basic provisions of the LPA. The purpose of the bill was to provide a program of discretionary demonstration grants and contracts designed to encourage and support innovation in libraries and information services through the development and demonstration of cooperative activities involving the sharing of resources and provision of services within communities and among jurisdictions, with special emphasis on services which benefit handicapped, institutionalized, or economically disadvantaged groups. For such purposes, we requested an authorization of $20 million for each of the fiscal years 1976 through 1978. Under this proposal, State and local library agencies and other nonprofit agencies, organizations, and institutions involved in the administration, provision, support, or coordination of library or other information services would have been eligible to receive financial assistance.

Activities would have focused on demonstrating innovative methods for providing library services, including services to the handicapped, the institutionalized, and the economically disadvantaged; designing and demonstrating exemplary interlibrary cooperative services and activities; and demonstrating the feasibility of the practical application of these informational and educational services for the library community. Evaluation efforts would also have been authorized. Applications would have had to provide assurance that State library administrative agencies, and in the case of interstate projects, Governors of the affected States, had been afforded an opportunity to review and comment on the proposed activity.

Among the criteria to be weighed in the approval of an application would have been the degree to which the program or project to be funded could be replicated in the Nation, and consideration of the source and adequacy of non-Federal funds which would be available to sustain the project when Federal assistance ends. Essential to the goals of the act was the concept that projects could be funded from 1 to 3 years. Support for more than 1 year of a demonstration project would have been authorized only if the Secretary determined that the purposes of the act would thereby be more effectively carried out. Federal funding for the first year of any project would have covered up to 100 percent of the costs, but would have been limited to 70 percent of costs in the second year and 40 percent in the third.

The most obvious question which arises is what effect LPA would have on activities now supported by other Federal library authorities. The formula grant program in title I of the LSCA, which provides assistance for operating expenses, would be phased out. However, the concept of aiding high priority target groups would be retained. Since 1973, no funds have been recommended or appropriated for title II of the LSCA. LPA would also not provide funds for these purposes since Federal support has provided seed funding for over 2,000 public library construction and renovation projects since 1965, while State and local agencies have heavily supported these activities. Support for any continuing need for construction may be provided through general revenue sharing funds at the local levels and through increased support and redirection of priorities by the States. We do not believe it is appropriate for the Federal Government to assume the responsibility for providing library facilities.

Although the funding mechanism shifts from a formula grant program to discretionary grants, the LPA retains the title III purpose of encouraging State, interstate, and/or regional cooperative networks of libraries in order to provide a systematic and effective coordination of resources of school, public, academic, and special libraries in a more cost-effective and more economical service pattern. Also, the LPA can fund the type of library and information models developed under the current authority of HEA title II–B. This title, research and demonstration program, is not as viable a device under which to accomplish our current objectives.

In summary, Mr. Chairman, we believe library services to the people of particular localities are most appropriately supported through State and local governments. The program proposed in the bill represented a Federal role limited to the encouragement of innovative developments in the delivery of library and information services through resource sharing and other cooperative techniques, with special attention to the needs of the disadvantaged. Accordingly, the LPA, while authorizing activities that can be carried on under existing law, would have focused temporary project grant support on innovative library practices, and would have led the Federal Government out of categorical service support it now has with respect to library programs.

Let me say again that the administration is now considering the Federal library program in the 1977 budget process. We commend the subcommittee for holding this hearing, and we hope that a beneficial dialog on the future direction of Federal library programs will result.

My colleagues and I would be most pleased to respond to questions you may have, Mr. Chairman.

Mr. **Brademas**. Thank you very much, Mr. Mattheis.

As you have heard from the testimony of the spokesmen for the library community who appeared before you and as you will have judged from my own observations, there was good reason for you to have used the conditional tense in your discussion of your bill, because to paraphrase an old story told around here, "There is minimum high enthusiasm for it in this place." Also, I should be less than candid if I did not tell you I felt a majority of the members of the subcommittee and of the committee probably share that point of view on a rather bipartisan basis.

That being disposed of, let me put some questions to you.

What percent of support of local public libraries in the United States today comes from State money, from local money, and from Federal money?

Mr. MATTHEIS. I don't know, Mr. Chairman, whether we have that specific breakdown. Five percent, which was reported earlier as the Federal, is accurate.

Mr. HAYS. Mr. Chairman, we don't have it broken down today precisely by State and local, but collectively, State and local resources provide 95 percent of the support for public library systems in the United States, and Federal support is 5 percent.

Mr. BRADEMAS. Do you mean to tell me that you cannot give this subcommittee a specific answer to the question I put in respect of the percentage of State moneys and the percentage of local moneys that go to support public libraries in this country?

Mr. HAYS. The percentage of State money is approximately 7 to 8 percent, sir.

Mr. BRADEMAS. So that 7 to 8 percent will come from State funds, 5 percent from Federal funds and the rest from local funds.

Can you tell me what the pattern was, let us say 5 years ago, to pick a not unreasonable date, so that we can have some idea what the trend us?

Mr. HAYS. Mr. Chairman, the trend line, I believe, since 1956 shows an increasing support at the State level. As indicated in the testimony, 23 States provided approximately $5 million in 1956. Today, it is 38 States with over 100 million.

Mr. BRADEMAS. Of course, that is not really responsive to my question in terms of percentages. Real numbers are helpful, but not as clarifying as percentages would be in giving us an idea of the patterns of support.

Mr. HAYS. The percentage of State support has grown slowly, Mr. Chairman. Basically, the support for public library systems have been provided both percentagewise and in precise dollar amounts by the local govrenmental levels.

Mr. BRADEMAS. Let me put a more specific question to you. Let's stick to percentage figures here because, as I say, real numbers don't really illuminate very much.

You have testified here in opposition to Federal funds for construction. What percentage of support for construction and renovation comes today from State moneys, from local moneys, and from Federal moneys?

Mr. HAYS. Our information indicates that the Federal support is approximately 5 percent. The State provides very little support for construction and the majority of the support, approximately 95 percent, comes from the local level.

Mr. BRADEMAS. Let me ask you about revenue-sharing money. Here if you want to use real dollars it may be the only way you can give me an intelligent reply.

How much revenue-sharing money is being expended, in the most recent year, for construction and renovation, dividing that into State revenue-sharing money and local revenue-sharing money?

Mr. HAYS. The latest information we have, Mr. Chairman, is the year July 1973 to June 1974, which is the latest information we have in the Treasury Department. Their report indicates that a total of $82 million was spent for library support.

Breaking that down, the report indicated that for capital expenditures, which would be for construction and renovation, it was $36.2 million, which was 44 percent of that, and operation and maintenance was $46 million, which was 56 percent of the amount.

Mr. BRADEMAS. Is that State and local revenue-sharing moneys combined?

Mr. HAYS. Yes. But, the State contribution in terms of revenue sharing, Mr. Chairman, has been very minimal. Most of this is local revenue sharing where libraries are listed as one of the eight priority items.

Mr. BRADEMAS. In light of the information you have given us, I find it very difficult to understand how you can make these sweeping assertions. I take it they are rhetorical assertions—not meant to be taken straightforwardly—that we can count on State and local units of government to support libraries generally, that we can count on State and local units of government to support library construction, and that we can count on State and local utilization of their revenue-sharing funds to support construction.

I just don't think the record bears you out. If you play back your responses to me, I think you will find evidence for my conclusion. Somebody has to say the emperor has no clothes. When you come in here and say you can count on revenue sharing, or, Mr. Mattheis, to look at your statement, you can count on increased support and redirection of priorities by the States, there is no evidence for that proposition in light of the testimony you have given us.

Indeed, if you listen to the witnesses who preceded you, you hear a common theme running through the testimony of nearly every witness, and summarized in the testimony of Mr. Trezza, speaking for the National Commission, that we have to think of ways to develop incentives to get more State money into these programs.

So, when you come before the subcommittee and say we really don't need Federal support for libraries because the States will help meet the job, I put it to you, there is no evidence, in fact, for that assertion. It is political rhetoric.

Tell me if you have some evidence to persuade me that that conclusion is wrong.

Mr. MATTHEIS. I think, Mr. Chairman, the evidence is there with regard to new State legislation and additional resources in the States and their State programs. They have increased over the recent years. I think the evidence there is clear.

Mr. BRADEMAS. It is not what we were told.

Mr. MATTHEIS. We are talking about revenue sharing here.

Mr. BRADEMAS. I am talking about revenue sharing. I am talking about State tax dollars. I am talking about local tax dollars.

Mr. Mattheis. I think the record is clear, Mr. Chairman, that in State legislation and in State dollars with regard to library programs they have increased over the years.

Mr. Brademas. There is no question about that. That is like saying there are more people in the United States today than when George Washington was President. What does that prove?

Mr. Mattheis. It simply proves that States have increased their support and that is what the statement says. With regard to revenue sharing, we have not in the statement broken that down. I think Mr. Hays has. The State record there is certainly not altogether good, but locals have picked up and distributed a sizable amount of the funds available to them for library services. That is all we are saying.

Mr. Hastings. I don't know the exact number, but some States are devoting 100 percent of their State portion of revenue sharing toward education.

Mr. Brademas. That doesn't answer the question of public libraries.

Mr. Hastings. My point is that they have no funds left over to devote specifically to libraries, although this is not to say that some of those funds may not indeed be going to library services.

Mr. Brademas. The point I am making, which should be obvious on the record, is that I do not think you can be taken seriously in your suggestion that there is justification for doing away with a number of these LSCA programs on the ground that the States are moving in the direction of providing adequate funds for these programs. The evidence is just not there.

Mr. Wheeler. Mr. Chairman, there is another part to our position. We also address the propriety of the Federal participation.

Mr. Brademas. I understand that.

Mr. Wheeler. There is the possibility for the State and localities to shoulder the responsibility, which we think is more rightfully seated there.

What we have said here is that the appropriate Federal role would be one to support innovative library practices in order to improve library operations.

Mr. Brademas. I understand that. That is Ronald Reagan's attitude toward the world and Gerald Ford's as well. You just don't think the Federal Government has any business providing support for these matters. That is a perfectly legitimate position which will be overwhelmingly rejected by Democrats and Republicans in the Congress of the United States, I have little doubt.

Mr. Hays. I believe there is some additional information which would add to Mr. Mattheis' testimony. Not only have the States increased their support over the 19-year history of LSCA, but also in fiscal years 1973 and 1974, when we were going through the process of recissions and deferrals, et cetera, we found many States provided financial support for libraries when it looked like the Federal dollars were not coming. Thirteen States provided funds which contained "payback" provisions if LSCA funds were released.

Mr. Brademas. You have heard my comment that I agree with you in respect of the proposition that States ought to do more for libraries.

What comment, Mr. Mattheis, would you have on some of the suggestions made for giving incentive to the States in this connection?

Would you agree with the proposal that we impose a limitation of 10 percent with respect to the amount of LSCA title I moneys that can be used for administrative services and indirect costs? Would you think it wise as another witness said, to mandate State matching moneys in respect of any of these programs?

Mr. Mattheis. Mr. Chairman, I would simply indicate that we must hold until the President's budget material comes forward. Then we will be happy to be in conversation with the committee with regard to amendments to the legislation if it were to continue.

Those concepts have some attractions in many respects to what some of our past desires have been, and I don't see any great difficulty in arriving at some mutually agreeable positions.

I think those are things that we can have a dialog on and resolve.

Mr. Brademas. I appreciate that response very much. You know my own views on these matters. That I am in total disagreement with your general perspective doesn't mean we can't sit down and converse on ways in which constructively to amend any legislation we may report.

Let me ask you just a couple of other questions.

What is the problem, Mr. Mattheis, on the matter of the White House Advisory Committee appointees and its budget?

Mr. Mattheis. I have none, Mr. Chairman. I am happy to defer to the able representative from HEW on my left, Mr. Hastings, with regard to that matter.

Mr. Hastings. I think Mr. Trezza's recounting comports with my understanding of what the facts are. I inquired about this recently myself. The Department has nothing to do with the appointment of those people as you know. Those are White House appointments, and I really don't know what the problem is.

I don't know of any problem except the budgetary problem, which Mr. Trezza expressed this morning.

Mr. Brademas. Would you be kind enough, at the request of the committee, to make an inquiry of the White House and let us know?

Mr. Hastings. Yes. My understanding of the language in that statute is that it is permissive rather than mandatory, and I think perhaps the President may have decided he has more important things to do.

Mr. Brademas. We may have to write in some mandatory legislation then when we extend this legislation, if that is the posture of the Administration.

I would like to think that we could be cooperative in these matters. That is legislation that had overwhelming support from Democrats and Republicans in the Congress. It was not a partisan matter at all.

Would you be kind enough, Mr. Hastings, to ask the White House if they would give us some information by the end of the week on what their plans are with respect to the President naming his nominees to the Advisory Commission.

Mr. Hastings. I would be happy to.

Mr. Brademas. I would be very grateful.

I have two other questions.

Why, in light of the testimony you have heard today, and in light of your earlier testimony with respect to the importance of cooperation, do you favor phasing out title III, the interlibrary cooperation program?

Mr. **Mattheis.** I think just from the general premise that in a little bit different way we would hope to carry out interlibrary cooperation under the new act. It is just a different way of doing the same thing. I think the intent would be there to continue it, but with a different mode.

Mr. **Brademas.** What is the Administration's attitude or interpretation of the forward funding requirement in the General Education Provisions Act? Does it apply to the LSCA programs?

Mr. **Mattheis.** Mr. Chairman, as that question came up from some of the other people testifying, we had a little sketchy caucus and couldn't arrive specifically at where we are on that ourselves.

We have a difference, I believe, some feeling that it is covered and some questioning whether it is. I think the concept, however, is one that we have generally supported.

Mr. **Hastings.** It is my understanding the General Education Provision Act provides that authority for all educational programs and it is simply a question of the Appropriations Committee wanting to appropriate 2 years' funds in 1 year and OMB's willingness to request them, as well.

Mr. **Brademas.** Perhaps you would like to take another more careful look at that.

Mr. **Mattheis.** This would be one of three or four factors we would be willing to discuss as we responded to the final activities of the committee.

Mr. **Brademas.** Finally, let me say that I hope the fact you opened and closed your statement by alluding to the Administration's consideration of the Federal library program in the 1977 budget process is not solely designed to titillate, but to give encouragement that there may be a new look down there.

I see Secretary Rumsfeld went down to the White House and came away with $2.5 million after an hour or so of conversation so maybe you could pick up a few million dollars for libraries.

Mr. Pressler?

Mr. **Pressler.** I might start out by asking a question about the extent to which construction needs have been met in rural areas, such as South Dakota, where I come from, so far as libraries are concerned, and also the supply of books in some of the rural areas?

Mr. **Mattheis.** Mr. Pressler, I am not sure we could be all that specific. We could tell the degree to which the population across the Nation has been covered. I indicated in my remarks 95 percent of the population.

Mr. Hays, would you respond?

Mr. **Hays.** I would be delighted to.

Our best information from the South Dakota State library agency is that there are still 20 applications on file now, which indicate if they had LSCA money, they would fund these programs. Nationally, the figure would be between 1,500 and 1,600.

Mr. **Pressler.** I know we have the book mobile project in some rural counties, but I don't know where we are going to get the money to do this from the Federal program.

What do you foresee in terms of some of these smaller population centers in Indian reservations and rural areas, being a little more specific? I don't see in the Governor of South Dakota's budget any provision for this. It is a matter of great concern to me—buying books and making information accessible to some of our rural schools and rural people.

Mr. HAYS. Our Library Partnership Act maintains a focus of trying to show how these services can be provided in such areas as you mentioned.

What we are suggesting is that once that technique, that approach has been shown, we would hope State and local authorities would pick up and take care of the operational costs.

Mr. PRESSLER. That dosn't have any money for construction, does it?

Mr. HAYS. No; it does not, sir.

Mr. MATTHEIS. I think, Mr. Pressler, in a number of other programs that we have, one would want to look very carefully before one felt we wanted to go on to the point of construction in some of our very sparsely settled areas across the land, in Alaska for instance.

I think what we really want to do and what the program that we are proposing would do, would be to try to work out some new, innovative and creative ways of meeting the needs of sparsely settled populations. It is a great need, and there is no question about that.

We have some reservations about the literally exorbitant dollars that would be required to build facilities where there aren't very many people. One new way, which we haven't in fact used that well but we are beginning to, is using technology in various ways. It has not provided the answers yet, nor do we have the answers, but we hope that some project grants out of this new legislation we are requesting would get at some of them.

Mr. PRESSLER. I concur that the cost of construction in these sparsely populated areas is very high. I remember, though, as a young person growing up in South Dakota getting a list of books that one could order through the mail from the State library. That program seems to have been discontinued, but I do think that is one area in which we will need to be a little more vigorous, at least in my State.

Another thing is the Presidential Advisory Commission. Is the reason why there haven't been people appointed to that solely a matter of budget? Does appointing people cost money or has there been just a lag?

Mr. HASTINGS. I think there are two areas of budgetary implication. One is the actual cost of the conference itself; the other is the point which Mr. Trezza indicated he had been told by OMB, with which I concur, is that it is not likely we are going to have any vast new amounts of Federal money for library programs coming down the road in the immediately foreseeable future. Holding any such conference is simply going to result in recommendations that the Federal Government mount large now programs which are——

Mr. PRESSLER. The Advisory Commission on Libraries could be appointed without having a conference, couldn't it?

Mr. MATTHEIS. I think one could, but the question would be what they would do. In going back to the budget, if I may, I think in the very difficult economic straits that we are finding ourselves in as we build the 1977 budget, the question becomes whether you are going to put your money in administration or in services. When we are talking about such an item as $3.5 million to do this activity versus putting it into services programs, those are the kinds of priority establishing activities that we are involved in.

Conferences such as this, worthwhile as they may be, when they are weighed against providing $3.5 million to a services program for people or children somewhere, just don't come out as high because of how tight things have gotten.

Mr. HAYS. I would like to also add we realize how tight the money situation is at all levels. The priority is how to better utilize existing resources, how those could be shared, so we don't have to redo and duplicate.

In addition to your comments about innovative ways to provide service programs, these are the types of things that we tried to support in the past and we would like to continue to support them.

Mr. PRESSLER. What specific functions will be carried out under the administration's bill that could not also be carried out under title III of the current law?

Mr. MATTHEIS. I am not sure, Mr. Pressler, that there are any in that situation. The vice versa is what we are after. The present law on LSCA provides for a service activity and that is the major thing that would be left out of any new proposal. We would be moving away from services. Most of the things we can do under the present legislation, we are calling for in the new legislation. The major difference is in dropping off the service provisions under the present legislation.

Mr. HAYS. If I could add on to the differences in title III provisions and the proposed legislation. The proposed legislation would change from a formula grant mode to a discretionary form.

The proposed legislation would not only provide a different vehicle for library support, but it would emphasize innovative and demonstration programs for disadvantaged and handicapped and other inadequately served populations.

Mr. PRESSLER. I guess this is philosophical. The other day we were voting on the military budget and with great reluctance, I voted against the whole thing. It seems to me we can come up with so many billion dollars so quickly for the military. As I see the situation in eastern South Dakota, in some of our rural areas and Indian reservations, where books which might inspire people are going unread and I have a great deal of difficulty cutting our budget in this particular area.

I think it is a people program, and I really hope that the administration will come to give it a little bit higher priority. I realize the difficulty you people are under here, but I really think we have to shift our priorities about a bit.

That is my view. I have no more questions.

Mr. BRADEMAS. Before the Chair calls on Mr. Lehman, I would just like to thank Mr. Mattheis and his associates, as I said, for the constructive responses they have given.

Although we may be in some fundamental disagreement on philosophy and financing, there are unquestionably areas in which we can work together. I am hopeful that we can do so.

Mr. Lehman?

Mr. LEHMAN. Thank you, Mr. Chairman. I would just like to make two comments and get any reaction I can.

I am very much concerned about the dropoff in test scores on college entrances. They have been coming down steadily for 10 years, and last year was the biggest falloff. There have also been feature stories on why Johnny can't write. To me, it is a question of how can you tighten up library funds when the country is obviously in a decline evidenced by its reading and writing skills, at least in the young people.

The second thing is that I look at libraries now as a multiple discipline type of building rather than a place to check out and return books. It is a community function.

I think what we need also is for libraries to cooperate very closely with the National Endowments for the Arts and Humanities to make their functions more efficient.

Those are what I guess, are my two comments. How can you really put a much greater priority than the falloff in reading and writing skills, and what can you do to implement an endowment grants program through the library program?

Mr. MATTHEIS. Mr. Lehman, if I might respond to all three of the issues very briefly.

First of all, on the scholastic aptitude tests and decline in those scores. I would almost be bold enough to make my own guesses as to what has caused that. Everybody else has made their guess at this juncture.

But it does appear that it is not altogether clear what has caused it. The chief reason right now, espoused by a number of people that I respect, would seem to be that a larger number of very brilliant young people are taking the tests in the junior year and are not repeating them in the senior year. That is why the senior year testing has dropped off so severely.

The fact of the matter is that the junior year testing, which then in effect gets at a more representative and comparative group, has not dropped off. It doesn't appear that there is really much cause for alarm in that drop in the scholastic aptitude test scores.

Mr. LEHMAN. I read every possible reason for it except that one, which sounds as if it is valid, as it obviously is, which would supply the total answer.

Mr. MATTHEIS. But there are some people, Mr. Lehman, that are really working, and we need to come up with more concrete evidence than we have at this juncture. This has been superficially done by many individuals in a few groups. There are a couple of sophisticated studies underway now.

The former Commissioner of Education and former Assistant Secretary of Education, Dr. Marland, at the College Entrance Examination Board, has appointed a task force under the leadership of Willard Wirtz, former Secretary of Labor, to look into the matter, and you can be sure we will have a report.

At this point, it does not appear to be a very negative one.

Mr. LEHMAN. I was thinking about the junior year. It is getting off the subject, but it does concern me. Obviously, the top 10 to 20 percent of the students taking it in the junior year, that means there is no decline in the top 10 or 20 percent in a period of time?

Mr. MATTHEIS. Except that, Mr. Lehman, in years previously the top 10 and 20 percent of the students did in fact take the test again in their senior year, and many of them did not choose a college or university until their senior year. We are finding many more of them are taking their test and choose a college and university at the end of their junior year.

Mr. HASTINGS. There is an additional element suggested in an article in the New York Times; that is, many of the brighter students these days, because of financial reasons, are choosing to go to State institutions, many of which do not require taking the test at all. Therefore, they are not counted in the average.

Mr. LEHMAN. I guess you could number 25 reasons without hesitating.

Mr. MATTHEIS. That is about right.

Mr. LEHMAN. All of which could be somewhat valid.

Mr. MATTHEIS. There will be some study, and we want to make sure you and the committee will receive those.

Mr. LEHMAN. You still think we have a problem?

Mr. MATTHEIS. We have more of a problem in the writing example you used. I think the test is going to fall out as not being much changed over the recent years. In the writing example, which you have mentioned where there has been an indication of writing ability, that is a little more disturbing, although it is not totally bad.

One part of that report indicated there is an increase in the writing ability among a certain age level of children, and then there is a decrease in another group.

Mr. LEHMAN. Can I ask you something else?

Mr. MATTHEIS. Yes.

Mr. LEHMAN. Is there a definite correlation between reading skills and writing skills?

Mr. MATTHEIS. I don't know that I could speak to that specifically from any research base. I would be surprised if there wasn't.

Mr. LEHMAN. If there was, it would be additional support for library funds.

Mr. MATTHEIS. Yes. But the fact of the matter, Mr. Lehman, again is that library usage, whether in public schools or public libraries, is very much on the increase. Far be it for us to sit here before this committee and be labeled as antilibrary. What we are simply addressing here is the Federal role in public libraries. What it ought to be. It is our judgment that there ought to be a change in the direction of the Federal role from what has been developing into a service program, an ongoing operational construction services program, to one of discretionary grants to look at new ways of doing things.

Mr. LEHMAN. I will make you an offer you can't refuse. How about one-tenth of 1 percent of the military installations budget for library funds? The military people have to read, too.

Mr. MATTHEIS. Yes; they do. They certainly do.

Mr. LEHMAN. You know how much that would be?

Mr. MATTHEIS. It would be a very large amount.

Mr. LEHMAN. Say you have $20 billion worth of military installations. One-tenth of 1 percent would be $2 million, which ain't bad.

Think of the books that could buy, and it can't hurt the morale. You could even put comic books in there.

Go ahead, I am sorry.

Mr. MATTHEIS. That really concluded the three points about testing and writing, and the general position that we have with regard to libraries. Certainly we would not want to have ourselves looked upon as antilibrary. We simply are looking at the changing roles of support for libraries.

Mr. LEHMAN. Any other comments? If not, I am sorry I was late. I am quite interested in libraries.

We have one more panel which will testify regarding H.R. 10999.

[Text of H.R. 10999 follows:]

[H.R. 10999, 94th Cong., 1st sess.]

A BILL To authorize the Secretary of Health, Education, and Welfare to distribute funds to Recording for the Blind, Incorporated, to assist such corporation in carrying out certain projects

Be it enacted by the Senate and House of Representatives of the United States of America in Congress assembled, That (a) there are authorized to be appropriated $925,000 to the Secretary of Health, Education, and Welfare (hereinafter in this Act referred to as the "Secretary") for distribution to Recording for the Blind, Incorporated, a corporation incorporated under the laws of the State of New York (hereinafter in this Act referred to as the "corporation") in order to carry out the provisions of subsection (b).

(b) Any sums distributed to the corporation by the Secretary from sums appropriated under subsection (a) shall be used by the corporation—

(1) to complete the duplication of the master tape recording library of the corporation; and

(2) to establish and maintain a data processing system to be used (A) in connection with orders and other requests for materials from handicapped individuals desiring to use the services and facilities of the corporation; and (B) to make available a complete library lending service for use by handicapped individuals.

SEC. 2. The corporation shall, before receiving any sums from the Secretary under this Act, provide satisfactory assurance that such fiscal control and fund accounting proceudres will be adopted as may be necessary to assure proper disbursement of, and accounting for, such sums.

SEC. 3. (a) Except as provided by subsection (b), the provisions of this Act shall cease to be effective upon the effective date of any appropriations Act which makes an appropriation to carry out the first section of this Act which, together with any other such appropriation, is equal to the authorization made by subsection (a) of the first section of this Act.

(b) Any appropriation made to carry out the first section of this Act shall remain available until obligated or expended.

Mr. LEHMAN. Mr. Carothers, would you begin the presentation?

STATEMENT OF STUART CAROTHERS, EXECUTIVE DIRECTOR, RECORDING FOR THE BLIND, NEW YORK, N.Y.

Mr. CAROTHERS. My name is Stuart Carothers. I am executive director of the Recording for the Blind, Inc., and I am here in support of H.R. 10999.

Recording for the Blind, Inc., is a private, tax-exempt, volunteer organization incorporated for the sole purpose of providing free, recorded, educational materials for students and professionals unable to read ink print for any of a variety of reasons. Our users include not only the blind, but persons with perceptual disabilities like dyslexia, or with physical handicaps that make it impossible to hold a book, such as multiple selerosis, cerebral palsy, or paraplegia.

RFB was founded in 1951 by a group of New York women led by Mrs. Ronald Macdonald, who began recording textbooks for blind Korean war veterans. RFB now has 27 professionally equipped recording studios throughout the country, manned by 4,500 dedicated volunteers readers and monitors, and a master tape library of over 33,000 recorded volumes in New York City. Last year, RFB circulated more than 75,000 recorded textbooks to over 11,000 visually or physically handicapped students and professionals.

RFB is the only national organization of its kind in the world devoted exclusively to providing recorded educational materials for the handicapped. We make it possible for thousands of young people to attend schools and colleges throughout the country and to compete successfully with their peers in business and professions ranging from mathematics, computer science, and financial management through medicine and the law.

With an annual consolidated budget of more than $2.5 million, RFB has traditionally relied on private support from foundations, corporations, and individuals. We have two critical special projects, however, for which we have an urgent need for funds which are not available from our normal private sources.

One critical need is for a complete duplicate master tape library. We now have over 33,000 volumes on tape in our New York library. This represents almost 4 million hours of volunteer work. If these master tapes were destroyed by fire, the loss would be incalculable. Even if the tapes could be re-recorded, an entire generation of print-handicapped students would be deprived of the tools necessary to lead productive lives in a sighted world. RFB has therefore undertaken a program of duplicating these master tapes and storing them in fireproof facilities underground in upstate New York. We are using funds from our operating budget to make duplicate master tapes of new titles as they are recorded, but we desperately need an additional $495,000 to complete duplication of tapes already in our master tape library.

Our second urgent need is for funds to computerize our ordering process and library operations. At peak periods during the academic year, student requests pour in at the rate of over 1,000 daily. A fully computerized ordering process and library service would not only permit us to reduce the "turnaround time" for filling student requests, but would also add a whole new dimension to our library service.

Under the present system, students order books by title, author, and edition. With the proposed computerization, students would be able to order books by subject matter as well, thus providing our users with a substantially increased research capability, a service of enormous value to students already operating at a time disadvantage compared to their sighted classmates.

Finally, under a fully computerized service tied in with other recording organizations, RFB could serve as an "information center" for all recorded educational material available to the blind and handicapped.

Both the executive branch and the Congress have previously evidenced their support of RFB with two separate grants, totaling $500,000 for operating expenses for 1975. This has been enormously helpful during a particularly difficult fundraising period. I would like to emphasize, however, that RFB does not intend to rely on public moneys for operating expenses in the future. As our services continue to expand and improve, we will look to the private sector for our support, as we have for the last 25 years.

We are here now only because we are faced at one and the same time with two very urgent capital projects for which addtional funds must be found. With these funds, we cannot only insure the continuation of our services, we can also dramatically improve these services, enabling our users to lead ever more useful and productive lives.

Thank you.

Mr. LEHMAN. Thank you, Mr. Carothers.

Mr. Krents.

STATEMENT OF HAROLD KRENTS, LAWYER, SURREY, KARASIK AND MORSE, WASHINGTON, D.C., AND MEMBER OF THE BOARD OF DIRECTORS OF THE RECORDING FOR THE BLIND

Mr. KRENTS. I will keep it very brief, Mr. Lehman. I know that you have a quorum call. I just would very briefly like to speak to the services from the standpoint of the recipient.

I became aware of the Recording for the Blind when I entered Harvard College. During my earlier years, I had relied primarily upon braille. However, when one gets to the college, to the graduate school years, and eventually when he becomes a professional, the amount of reading is such that braille becomes not nearly as useful.

Also, many of the books are simply not available in braille. It became clear that something had to be done. I was falling farther and farther behind my sighted classmates. It was at this time that we heard about Recording for the Blind.

Through master libraries, it seems 9 out of the 10 books I needed that were already on tape were sent to me within 1 week. Those books which were not already available were farmed out to their units around the country, and volunteers put these books onto tapes.

One point that should be emphasized is that, for instance, I myself am an attorney in a law firm in Washington. All my books and records for the blind at law schools were read by lawyers, so volunteers who were used on the books are people conversant in the field in which they helped.

There is no doubt in any mind that I would not have been able to sucessfully get through Harvard College, Harvard Law School, and an extra year at Oxford University, to get a master's degree, had it not been for the remarkable work done by Recording for the Blind, and its 4,000 volunteers.

As you are no doubt aware, Congress presently appropriates a sizable amount of money to the Library of Congress to assist the talking books program, which produces recreational material for the blind. It is a fine service.

But, what Recording for the Blind does, what the talking book program does, is rather compliment it and supplement it, and I would hope that you and the other members of your committee would look at this item and feel that this is something that you could support, and support enthusiastically.

[Prepared statement of Harold Krents follows:]

PREPARED STATEMENT OF HAROLD KRENTS, MEMBER OF THE BOARD OF DIRECTORS OF RECORDING FOR THE BLIND, INC.

Mr. Chairman, I support wholeheartedly the comments of Mr. Carothers on behalf of this legislation and I would just like to add a personal word or two about what Recording For The Blind has done for me.

During my elementary and high school years, I managed to go through the Scarsdale, New York, school system, thanks to a group of dedicated volunteer braille transcribers and a very committed family. However, shortly after my arrival at Harvard College it became abundantly clear that my future academic career was in serious jeopardy. For one thing, most of the text books which I had been assigned by my freshman professors were unavailable in braille, and for another, the process of reading braille is rather slow. At best, a blind student reads at one-third the speed of his sighted counterpart. Therefore, although studying through braille was possible given the short assignments in high school, it was out of the question given the overwhelming amount of reading required at the college level.

I was falling farther and farther behind and actually considering dropping out of Harvard when my family heard of Recording For The Blind. This outstanding organization, then and now, provided exclusively educational material free of charge on tapes. Through the use of Recording For The Blind and its extensive master tape library, combined with its high-speed duplicating equipment, the necessary textbooks were furnished within a matter of days.

I can truthfully say I would not have been able to attend Harvard College, graduate cum laude in English, and go through Harvard Law School had it not been for the marvelous work of the Recording For The Blind. It is through this organization that tens of thousands of blind students and professionals are able to function on a level of equality with their peers.

On behalf of Recording For The Blind I would like to express our appreciation for the opportunity to appear today.

Mr. LEHMAN. Thank you. Of course, you have no problem with me, and I will continue to do all I can. I just want to compliment you on your brief but certainly very meaningful statement of the needs and the results of this kind of a program.

Mr. Gashel.

STATEMENT OF JAMES GASHEL, CHIEF, WASHINGTON OFFICE, THE NATIONAL FEDERATION OF THE BLIND

Mr. GASHEL. Thank you, Mr. Lehman.

My name is James Gashel. I am chief of the Washington office of the National Federation of the Blind.

In 1940, the National Federation of the Blind was formed to serve as a vehicle through which the blind may speak for themselves.

Indeed, a quotation on our publication, "The Braille Monitor," which is produced monthly on record and ink print and in braille, states the following: "The National Federation of the Blind is not an organization speaking for the blind, it is the blind speaking for themselves."

In that capacity, then, Mr. Chairman, we come before you today to discuss with you the request of Recording for the Blind for certain funding to provide for an expansion and improvement of its programs.

Noting the time and hearing the quorum call, I am going to do the best I can to summarize the statement I have here, Mr. Chairman, and ask that my full statement be printed in the record.

Mr. LEHMAN. Without objection.

Mr. GASHEL. Many of us who are blind use the services of Recording for the Blind. As a matter of fact, many members of the National Federation of the Blind have been the happy beneficiaries of the services provided by this fine agency, Recording for the Blind.

I, myself, as a college student, have used the services of Recording for the Blind and would certainly second everything Mr. Krents has said about the good work of the organization.

For many blind persons, children, students, adults, or senior citizens, immediate access to the great world of books remains a dream, a goal to be reached.

We are giving in the National Federation of the Blind tremendous increased priority to trying to find ways of fulfilling this need.

During last spring, when we had the round of appropriations for legislative matters, I appeared in both the House and the Senate to support vigorously appropriations, additional appropriations, for the Library of Congress, the Division of the Blind and Physically Handicapped, and this year that division got its largest single budget increase, nearly $4 million over its fiscal 1975 appropriation. This we are very pleased about.

The National Federation of the Blind has recently created a committee to deal with the problems of library services which we face. The chairman of this committee is Mrs. Florence Grannis. Mrs. Grannis is director of the largest library for the blind in the entire world and is well-known by all librarians in the field of work with the blind for her advocacy on the part of consumers.

What we believe is simply this: We believe each and every blind person should have available to him library services which are at least as good as that which he could get if he were sighted and lived in a good library area.

As I have indicated, this is not yet a reality, but we are going to make it so, if we can.

Certainly, we are advocates for increased resources devoted to libraries, and we are also cognizant of the fact that the scarce resources devoted to libraries and recording services must be spent in the most cost effective manner possible.

Any unnecessary expenditures, any frivolous expenses, any wastage whatsoever, must be cut from the budget.

Mr. Chairman, today we are a bit concerned with some of the work of Recording for the Blind from that standpoint. Let me expand on that. While we reognize the need of Recording for the Blind, for adequate financing, and while we ourselves as blind people are the beneficiaries of Recording for the Blind's worthwhile services, our support for financing for Recording for the Blind as set forth in H.R. 10999 is of some necessity conditional.

RFB, we feel, if funded by the legislation, must agree to allocate its financial resources entirely to meeting the reading needs of the blind; that is, to putting books in the hands of the blind readers.

Specifically, Mr. Chairman, we object to continued expenditures on the part of RFB for accreditation by the National Accreditation Council for Agencies Serving the Blind & Visually Handicapped, usually referred to by the blind as NAC.

We object to this because of a number of things, primarily because of the serious weaknesses within the accreditation body, NAC itself. NAC has also served, in our judgment, as a force for maintaining traditionalism and a force for stifling change and improvement in the field of work with the blind.

NAC, in its operations, has failed to keep pace with the efforts of the subcommittee and of the Congress to insure that handicapped individuals will have all the rights and privileges available to sighted persons and the nonhandicapped in this society.

Let me give you just a couple examples of what I am talking about.

Let us take the field of education, which is a field over which this committee maintains oversight and jurisdiction.

The National Accreditation Council in 1965 prepared standards to deal with approval of educational services to blind children and youth attending residential secondary schools for the blind. The standards which were developed by NAC in 1965 are the standards which are still existent and still applied to the schools now nearly 11 years later.

Mr. Chairman, you and the members of this subcommittee know from a firsthand experience the tremendous changes which have occurred in the field of education of the handicapped because you all wrote a lot of those changes in this subcommittee.

Tremendous changes have occurred, but one Office of Education observer who recently observed NAC, in its onsight inspection process, has indicated in his findings that the NAC onsight review team at Oklahoma School for the Blind evidenced no knowledge whatsoever of the title VI(b), the Education of Handicapped Act amendments of 1974, at the time, until the passage of Public Law 94–142, the most significant legislation affecting education of the handicapped.

What we are saying is that the standards themselves are out of date. Let's move specifically to library services and the standards which apply to an organization such as Recording for the Blind.

Here, too, in the area of library srevices, the National Accreditation Council standards are woefully out of date. The southern librarians, in a conference held last spring, passed a resolution which I have attached to my statement, Mr. Chairman, and ask that it be printed as an attachment.

Mr. LEHMAN. Without objection, it will be included.

Mr. GASHEL. Thank you.

The resolution reads, in part:

> We do not feel that the existing NAC standards are relevant, to present day library services, which has advanced greatly since NAC standards were published about ten years ago.

Incidentally, Mr. Chairman, the resolution was passed without a dissenting vote.

It is, then, in our judgment that it is not in the best interests of the blind who get the service from organizations such as Recording for the Blind, for organizations such as Recording for the Blind to be accredited by the National Accreditation Council for Agencies Serving the Blind and Visually Handicapped.

The NAC agencies, of which there are now 58, are almost without exception among the worst of the lot and, incidentally, Recording for the Blind is an exception.

NAC today is an accreditation body which is discredited and it tends to cast a shadow on the good work and good name of other organizations with which it is affiliated.

Mr. Chairman, Recording for the Blind is itself considering a withdrawal from the National Accreditation Council. At its May board meeting, the issue was discussed. Correspondence has ensued, which I am attaching to my statement and ask that it also be included in the record.

I would like to read to you the final paragraph from a letter from Dr. Kenneth Jernigan, president of the National Federation of the Blind, which states very eloquently, I think our specific position with regard to NAC and Recording for the Blind.

He says, and I quote:

> The blind of the Nation wish Recording for the Blind well and we think highly of its work, but we also wish it to get out of NAC since NAC does damage to the lives of blind people. Surely this is not an unreasonable attitude or one which is difficult to understand. You have the data and the evidence, and we know that you have it. Further, you know that we know that you have it.
>
> Therefore, we await your decision, and we hope that you will work with us, not against us. After all, your avowed purpose is to help the blind, not fight us.

Mr. Chairman, therefore, today we have come to express our support for H.R. 10999 subject to an amendment being added. I would be pleased at a later time to work out the specific language of the amendment which we propose, but let me say that the intent of this amendment would be to say something like this:

During the period of Federal financial assistance, under this act, no funds from Recording for the Blind may be allocated to the purposes of the payment of dues, purchase of materials, or for meeting the expenses of onsight reviews, or for any other activities or purposes in connection with the accreditation by the National Accreditation Council for Agencies Serving the Blind and Visually Handicapped. This is consistent with the cost effective plea, which I made to you in the early part of my statement.

We don't believe that any financial benefit whatsoever accrues to Recording for the Blind by its affiliation with NAS. In fact, we believe that this affiliation harms Recording for the Blind. Also, this is consistent with a growing trend in the field of work with the blind for agencies and organizations to withhold their financial support from NAC.

Recently, the National Council of State Agencies for the Blind, the State directors of all programs serving the blind in rehabilitation, withheld its payment of annual dues pending reforms by NAC.

It has also been joined by several other organizations which have within the past year withdrawn only to have been added. Incidentally, this position is also consistent with the position taken by some persons from Recording for the Blind.

Both of the witnesses who join me here at the table this morning have indicated to one degree or another their support for our amendment, Mr. Chairman.

Specifically, Mr. Krents has indicated his support and has indicated his desire and commitment to see to it that RFB should get out of NAC.

Specifically, also, Mr. Carothers has stated to me before witnesses that the real problem is for RFB to find a graceful way to get out of NAC and that if the board were to make the decision again today it would probably have made a different decision than it did 5 years ago.

I would hope, then, therefore, and we have had discussions this morning and I would believe that we can arrive at an amendment which will be agreeable to all parties concerned. We have indicated to Recording for the Blind representatives that if such an amendment is adopted, we can give our unqualified and total and vigorous support for H.R. 10999, but failing such an amendment, we cannot in good conscience support this bill.

Mr. Chairman, I would hope that this makes clear our position and general support for the efforts of Recording for the Blind to upgrade its services, and we stand ready to answer any questions you may have.

Thank you very much.

[Prepared statement of James Gashel follows:]

PREPARED STATEMENT OF JAMES GASHEL, CHIEF, WASHINGTON OFFICE OF THE NATIONAL FEDERATION OF THE BLIND

Mr. Chairman, my name is James Gashel, and my address is Suite 212, Dupont Circle Building, 1346 Connecticut Avenue NW, Washington, D.C. 20036. I serve as Chief of the Washington Office of the National Federation of the Blind.

We are, as you know, a membership organization of blind persons who come from all walks of life. Our interest is a consumer interest, since we are the consumers of services for the blind. In 1940 the National Federation of the Blind was organized to provide a vehicle through which the blind may speak for themselves. Our publication, The Braille Monitor, says on its cover page: "The National Federation of the Blind is not an organization speaking for the blind—it is the blind speaking for themselves."

Mr. Chairman, we are particularly pleased to be here today to discuss with you and the subcommittee the request of Recording for the Blind for an authorization of federal funding to develop and further its various recording services. Many of the members of our Federation, especially those who are professionals or those who are studying at the university level, are very familiar with the work of Recording for the Blind and have used the textbooks it prepares on request. Without question, this is an important services. For any blind person—child, student, adult, or senior citizen—immediate access to the great world of books still remains a dream , a goal to be reached.

Our first hand experience with the too often inadequate library services available to the blind has caused us to give priority to this critical area of concern. Accordingly, Dr. Kenneth Jernigan (President of the National Federation of the Blind) has established a national committee on library services for the blind, appointing as its chairman Mrs. Florence Grannis. Mrs. Grannis is recognized by all as the foremost librarian in this field, and she currently directs the largest library for the blind in the entire world. She is an outspoken advocate for policies and programs which will bring library services for the blind into line with those provided by public and university libraries for persons with sight. It has always been our position that each and every blind person should have available library service which is at least as good as that which he would have if he were sighted and lived in a good library area.

Particularly we recognize the necessity for allocating increased resources (financial and otherwise) to the task of placing more and better books into the hands of blind individuals. To accomplish this end we have attempted to assist the Library of Congress, Division for the Blind and Physically Handicapped, in obtaining funding and establishing priorities. In this effort we have repeatedly argued that the scarce resources must be spent in the most cost effective manner—we simply cannot afford even the slightest waste. The emphasis, Mr. Chairman, must be on placing books into the hands of readers, and any unnecessary or frivolous expenditures must be discontinued at once.

Mr. Chairman, in this regard, we are frankly concerned about the activities of Recording for the Blind, Inc. While we recognize its need for adequate financing, and while we are the beneficiaries of its worthwhile services, our support for federal financial assistance for Recording for the Blind is of necessity conditional. If such assistance is provided, Mr. Chairman, we who use the services of Recording for the Blind, Inc., feel that R.F.B. must agree to allocate its financial resources entirely to meeting the reading needs of the blind. We specifically object to any expenditures on the part of R.F.B. for accreditation by the National Accreditation Council for Agencies Serving the Blind and Visually Handicapped (NAC). Recording for the Blind, Inc., is currently one of the NAC accredited members.

Volumes have been written documenting the extent to which NAC approves of and perpetuates the most inadequate services for the blind. Rather than serving as a force for upgrading and advancing these programs, NAC has been the stepchild of the status quo in this field. As such it has attempted to offer legitimacy to programs and policies which are not in keeping with the new effort of the Congress to ensure that handicapped individuals will have all of the rights and privileges available to others in our society.

A specific example of NAC's total disregard for the best interests of the blind, themselves, is its failure to update the standards it uses to accredit residential secondary schools for the blind. As with most of its standards in other areas, NAC's educational services standards were developed over ten years ago. Mr. Chairman, you and the members of this subcommittee know, firsthand, the tremendous changes which have occurred in federal legislation to assist in educating the handicapped. You know this because you and this subcommittee authored this landmark legislation. Even so, the standards of the National Accreditation Council have failed to recognize your efforts and the mandate of this Congress. In fact, an observer from the Office of Education who recently reviewed NAC's accreditation process found that not one member of a NAC on-site review team assigned to the Oklahoma School for the Blind had ever heard of Title VI B—the Education of the Handicapped Act amendments of 1974, at that time (until the passage of PL 94-142), the most significant piece of federal legislation in this field.

NAC's standards in other areas are similarly outmoded. The standards on library services for the blind are among the most inadequate. They are so much so that many librarians for the blind and physically handicapped have themselves called attention to the problem. Librarians for the blind from the southern states recently met and passed a resolution (copy attached) which reads in part: "We do not feel that the existing NAC standards are relevant to present day library service, which has advanced greatly since NAC standards were published about ten years ago." Incidentally, the resolution was adopted without a dissenting vote.

Under these circumstances we do not believe that it is in the best interest of blind students for the educational institutions, including libraries and recording services, which serve them to be accredited by NAC. In our judgment, the fifty-eight agencies which have applied for and been accredited by NAC are, almost without exception, among the worst of the lot. The National Accreditation Council as an accrediting body is, itself, discredited, and this tends to cast a shadow on the good name and reputation of any agency which associates itself with NAC. Nearly two years ago only fifty-six agencies had chosen to publicly identify with NAC in an accredited status. Today that number has only grown by two, while some have withdrawn and others are considering it.

One of these agencies considering a withdrawal from NAC accreditation is, in fact, Recording for the Blind. Mr. Chairman, I am attaching to this statement correspondence between the President of R.F.B.'s Board of Directors (Mr. John W. Castles III), and Dr. Kenneth Jernigan (President of the National Federation of the Blind), and I ask that it accompany my statement in the record. In his letter of May 23, 1975, Mr. Castles makes clear that Recording for the Blind, Inc., is undertaking an evaluation of its relationship with NAC. In his response, Dr. Jernigan states that "The blind of the Nation wish Recording for the Blind well and think highly of its work, but we also wish it to get out of NAC since NAC does damage to the lives of the blind. Surely this is not an unreasonable attitude, or one that is difficult to understand. You have the data and the evidence, and we know that you have it. Further, you know that we know that you have it. Therefore, we await your decision and hope that you will work with us, not against us. After all, your avowed purpose is to help the blind, not fight us."

Mr. Chairman, because of the good work and invaluable service provided to us by R.F.B., we support adoption of your bill to assist Recording for the Blind, Inc., subject only to an amendment being added. I will be pleased to work with the staff on the specific language for such an amendment, but the intent will be to specify that during the period of federal financial assistance under this act no funds from Recording for the Blind, Inc., may be allocated to the purposes of the payment of dues, purchase of materials, or for meeting the expenses of on-site reviews, or for any other activities or purposes in connection with accreditation by the National Accreditation Council for Agencies Serving the Blind and Visually Handicapped.

This position is consistent with my opening plea that financial resources made available to promote library and recording services for the blind be expended in a cost effective manner. We see no benefit (and in fact we see great harm) to Recording for the Blind, Inc., by its affiliation with NAC. The funds which R.F.B. spends on maintaining its accredited status (including annual dues and periodic on-site reviews) could be spent for recorded books for blind readers.

This position is also consistent with the trend in work with the blind for agencies to withhold financial contributions from the National Accreditation Council until NAC makes certain reforms. The latest group to withhold its financial support from NAC is the National Council of State Agencies for the Blind (the organization consisting of all state directors of rehabilitation and other services for the blind).

Finally, the position of Recording for the Blind, Inc., itself. At its May 1975 Board of Directors meeting, R.F.B. decided to evaluate its continuing relationship with NAC. Both of the witnesses appearing here today on behalf of R.F.B. have indicated to me, in one way or another, their belief that R.F.B. should cease its affiliation with NAC. Particularly, Mr. Krentz has stated to me, both privately and publically, his "commitment" to see to it that Recording for the Blind, Inc., does not continue as a NAC accredited member. Mr. Carothers has made similar representation, suggesting that the real problem which R.F.B. faces is how gracefully to get out of NAC and candidly observing that R.F.B.'s Board of Directors would have made a "different decision" today than it did five years ago when it affiliated with NAC. Under these circumstances, knowing as I do the position of both of the gentlemen from R.F.B., I would think that they would have no hesitancy in supporting our amendment. If such support is, in fact, forthcoming from Recording for the Blind, Inc., we can move forward with a fully cooperative effort to achieve passage of this legislation. Failing such support (which failure we do not anticipate) we would have no alternative but to express our vigorous opposition.

Mr. Chairman, I hope that this makes clear our position, and I know that you and the members of this Subcommittee will make every effort to amend this legislation on the lines that we have suggested. We stand ready, Mr. Chairman, to work with you and the members toward this end, and hopefully for the eventual passage of the bill to assist Recording for the Blind, Inc.

SOUTHERN CONFERENCE OF LIBRARIANS
FOR THE BLIND AND PHYSICALLY HANDICAPPED,
Atlanta, Ga.

RESOLUTION NO. 75-3: STANDARDS

We, the members of the Southern Conference of Librarians for the Blind and Physically Handicapped, assembled at the Second Biennial Meeting in Atlanta, Georgia on April 23, 1975, encourage the Division for the Blind and Physically Handicapped, with regional and subregional library, as well as consumer participation, to develop quantitative minimum support standards for regional and subregional libraries. As a start, our assembly recommends adoption of ALA minimum per capita standards for public library service. Funding and staffing standards should be based on the total blind and physically handicapped eligible population.

We do not feel that the existing NAC Standards are relevant to present day library service, which has advanced greatly since NAC Standards were published almost ten years ago.

Passed unanimously.

RECORDING FOR THE BLIND, INC.,
New York, N.Y., May 23, 1975.

Dr. KENNETH JERNIGAN,
President, National Federation of the Blind,
Des Moines, Iowa

DEAR DR. JERNIGAN: As you may perhaps be aware, our Board of Directors took up the question of RFB's continued membership in the National Accreditation Council during the Board's May 20th meeting. It was our understanding that if our Board determined not to withdraw from the NAC, the NFB would boycott our services and picket our units commencing with the NFB's July convention in Chicago.

We want to make it very clear that under these circumstances, there is no possibility that Recording for the Blind will accede to your demand that we withdraw from NAC.

Recording for the Blind is an organization of dedicated volunteers. We take great pride in our accomplishments in providing blind students with the educational tools so necessary to becoming self sufficient citizens. On many occasions you yourself have indicated that we provide an important service.

During the course of our investigations we have become aware of a number of serious charges leveled at the NAC. Until we have had an opportunity to fully evaluate these charges, we are unable to draw any conclusions on the merits of these charges. However, while we would not want it construed by the public that we either condone or condemn the NAC, these charges are sufficiently distressing that we have decided to remove the NAC seal from future RFB letterheads as soon as is practicably possible.

We intend to carry out a thorough reassessment of our position with the NAC. However, we cannot and will not do so under coercion or duress. When we are assured that an atmosphere conducive to calm reasoned deliberation has been established we will be prepared to proceed with our assessment.

Very truly yours,

JOHN W. CASTLES III.
President.

NATIONAL FEDERATION OF THE BLIND,
Des Moines, Iowa, June 2, 1975.

Mr. JOHN W. CASTLES,
President, Recording for the Blind, Inc., New York, N.Y.

DEAR MR. CASTLES: Your letter of May 23, 1975, is a strange one—one would almost be tempted to say a petulent one. You do not, you tell me, intend to be coerced by us; nor, I reply, do we intend to be coerced by you. Shall we shake hands on it?

You tell me that it is your "understanding" that we have indicated that we are going to do all sorts of dire things. It would be interesting to know how you arrived at those understandings and upon what foundation they are based.

As I say, your letter is a strange one. The NAC controversy has raged for years. During most of that time the blind, to my certain knowledge, have repeatedly tried to get Recording for the Blind to dissociate itself from NAC, pointing out NAC's unethical and unprofessional behavior and the harm it does to the blind. Mostly Recording for the Blind has seemed to refuse to listen. Under the circumstances it would not be surprising if the nation's blind should ultimately become impatient—especially since they have always had great respect for your organization.

Yet, with all of this background you blithely make the following statements:

During the course of our investigations we have become aware of a number of serious charges leveled at the NAC. Until we have had an opportunity to fully evaluate these charges, we are unable to draw any conclusions on the merits of these charges. However, while we would not want it construed by the public that we either condone or condemn the NAC, these charges are sufficiently distressing that we have decided to remove the NAC seal from future RFB letterheads as soon as is practicably possible.

Mr. Castles, one, would think you had just now become aware of NAC for the first time—that you had only yesterday heard the charges and seen the evidence. The blind of the nation will undoubtedly applaud your decision to remove the NAC symbol from your stationery—unless that is, you decide it is not "practicably possible" month after month. You seem to be threatening us by saying that you will carry out your "reassessment" only when you are assured that an atmosphere "conducive to calm reasoned deliberation has been established." It you are saying that the blind have no right to urge you to cease your association with NAC and that (regardless of the right or wrong of the matter) you will not cease that association unless the blind promise to be "good," you have failed to understand the temper of the blind or the climate of the times.

Yes, we think Recording for the Blind has done good and constructive work. However, we think you behaved irresponsibly in seeking accreditation from NAC, and we think there is no disgrace in admitting it. In fact, quite the contrary. If you wait a little longer, your deliberations and investigations will be unnecessary, for NAC will be dead—and the blind of the nation will doubtless remember accordingly. Until such time as NAC's death occurs, the atmosphere is not likely to be "conducive to calm reasoned deliberation."

In view of the tone of your letter I am not sure why you wrote it at all. The blind of the nation wish Recording for the Blind well and think highly of its work, but we also wish it to get out of NAC since NAC does damage to the lives of the blind. Surely this is not an unreasonable attitude, or one that is difficult to understand. You have the data and the evidence, and we know that you have it. Further, you know that we know that you have it. Therefore, we await your decision and hope that you will work with us, not against us. After all, your avowed purpose is to *help* the blind, not *fight* us.

Very truly yours,

KENNETH JERNIGAN,
President.

Mr. LEHMAN. Thank you, all three of you—Mr. Krents, Mr. Carothers, and Mr. Gashel. Your testimony was certainly interesting, and it brought to my attention questions that I didn't even know existed, and it has certainly been informative.

I don't feel that I should get involved with the question of jurisdiction of the different agencies that deal with the problems of blind, but I just want to let you know they will be cognizant of them as this bill works its way through the legislative process, that we will certainly keep in mind all the implications, the comments, and the concerns that you gentlemen showed us today.

As far as the kind of amendment that you are proposing. I really can't comment on that, but I will be happy to take a look at it and see just how we do or do not involve such language in the bill.

If there are no other comments, and the timing is perfect, I am on my way to the quorum call, which I hope is the last week of legislation this year, barring the callback because of the Presidential vetoes.

Thank you for coming.

[Whereupon, the subcommittee adjourned at 12:15 p.m.]

Alternatives for Financing the Public Library

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A Study
Prepared for the

National Commission on Libraries and Information Science

MAY 1974

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Submitted
by
Government Studies & Systems, Inc.
3401 Market Street
Philadelphia, Pennsylvania 19104

Prefatory Note

The objective of this study is to define and provide justification for feasible alternative options which hold promise of providing adequate financial support for public library services.

The research plan implemented in the study was designed to examine and evaluate relevant data, information and developmental patterns within the public library, public finance and governmental administration fields. The focus of these efforts was to provide insight and judgment on the general questions: (1) what are the problems in the present pattern of public library financing, and (2) what changes and alternative methods can be proposed to provide a more adequate funding system?

The research focussed on the following areas, all of which are of strategic importance to funding issues:

1. Role of the public library; characteristics and potential of public library services for meeting present and future societal needs;
2. Responsibilities, structure, organization, legal basis for public library development and financing at Federal, state and local levels;
3. General assessment of the existing pattern and nature of public library services in relation to the funding systems;
4. Public goods theory applied to public library financing as a frame of reference for developing and examining alternative funding systems;
5. Differential needs for public library services and differential capacity of states and local governments to support such services;
6. Comparison and relationships of public library funding systems with other relevant systems of governmental financing, particularly public education finance;
7. Patterns and trends in state and local government fiscal affairs and taxation problems; and
8. Impact of revenue sharing including any concomitant changes in the Federal role and intergovernmental fiscal policies.

At strategic points in the study process Government Studies & Systems (GSS) organized and conducted three day-long seminar sessions to review, analyze and evaluate the research design, findings and conclusions of research components, and the formulation of alternative funding options. In addition to GSS and its consultant staff, identified below, these sessions were attended by Ms. Kathleen Molz, former Chief, Planning Staff, Bureau of Libraries and Learning Resources, Mr. Dick Hays, Acting Chief, Division of Library Programs, and Mr. Charles Stevens, Executive Director of the National Commission. The last of these sessions, held in February 1974, included members of the NCLIS Committee with oversight over this study project. This group included: Mr. Louis Lerner, Chairman, Ms. Bessie Moore and Mr. John Velde. GSS expresses its gratitude for the participation of these individuals in meetings which were most productive in carrying forward the study process. Responsibility for findings, conclusions and recommendations in the report, of course, remain with GSS.

Members of the study team included an outstanding group of experts covering library services development and operations, economics, management, and intergovernmental fiscal affairs. Dr. Lowell A. Martin, Professor of Library Science, Columbia University and Mr. Keith Doms, Director of the Free Library of Philadelphia, represented the library field. Dr. Martin prepared the basic draft of Section II of the report dealing with the public library role issue. Dr. Morris Hamburg, Professor of Statistics and Operations Research, University of Pennsylvania, dealt with the examination and application of the public goods theory. Mr. Jacob Jaffe, Senior Analyst, (Ret'd), Advisory Commission on Intergovernmental Relations, performed the fiscal analysis and drafted Section III of the report. Dr. Ronald Whitfield, Assistant Professor of Management, Bucknell University, assisted in the research activities and in the preparation of working papers.

Government Studies & Systems staff assigned to this project included Charles P. Cella, Director, GSS, Arnold R. Post, Charles I. Goldman, John Q. Benford and Sharon M. White. Rodney P. Lane served as Project Director.

Government Studies & Systems
April 1974

Summary

The central conclusion of this analysis of funding patterns and general assessment of financing requirements for adequately supporting the public library is that the present system is basically deficient. In almost two decades of operation since the direct involvement of the Federal government, the present system has not produced an effective development and distribution of public library services. The distribution of costs among the levels and jurisdictions of government is inequitable and is a prime deterrent to the progressive development of a public library system responsive to the informational-educational-cultural needs of a modern society.

The State of the Institution

Historically, the public library represented a private response to the clearly felt need to provide a central repository of information and knowledge vital to the self-development and economic and cultural understanding of all citizens and, through them, the advancement of the community.

The public library today represents an under-developed national resource affecting and affected by the educational, cultural and overall quality of life in the United States. This resource plays a unique role in this democratic society. It provides informational, educational, and cultural services in patterns which vary according to estimates of need, sometimes imperfectly perceived by the library institution itself. More importantly, services vary widely according to the fiscal ability of state, county, and local jurisdictions to provide library services equitably to all the nation's citizens.

Uniquely, and for a variety of reasons, the public library has not emerged or developed in a political or bureaucratic form typical of other social institutions. It exists today largely in its pristine state as an almost randomly distributed pattern of semi-independent local service agencies and systems, only loosely coordinated with other libraries. As a social institution, it is related by tradition and function to the public education system. Yet, it cannot be considered an integral part of public education, nor can it be described as a functional service in the mainstream of government. This set of characteristics represents a heavy liability for public libraries in terms of attaining stable, adequate financial support for a full set of services available to all citizens. The institution's deep roots in the community and its strong civic support represent the public library's principal asset, at least potentially, in striving to develop a viable pattern of services responsive to the full variety of community and individual needs.

Today, in our highly complex, industrialized and fragmented society, the need for decentralized repositories of information, knowledge and cultural services still exists and perhaps is even intensified. There are still wide socio-economic and cultural gaps in our social structure and quite alienated groups producing needs which have long been the focus of public library services. In an era of affluence, there is still the need to provide an ever wider variety of channels of upward social and economic mobility responsive to community and individual needs and selection. There is increasing evidence that our formalized, bureaucratic structures for social, educational and economic advancement have not served adequately or equally well the varied needs of all citizens. Indeed, decentralized, less formally organized social and educational resources such as public libraries are being increasingly seen as valid adjuncts and alternatives to formally structured, governmentally sponsored educational programs.

This is not to say that we should replicate or simply expand the traditional patterns of public library services. Proximity of service to each community and individual remains important, but there are essential changes to be achieved through expanded inter-connecting linkages and networks of library services. These advances are needed to increase service efficiency and more nearly to satisfy cost-benefit requirements of the public sector. Modern technology provides vast new means to establish such network linkages and provide the means by which information and knowledge from the accumulated record can be translated for individual utilization. It is unlikely, however, that modern technology can ever replace the printed page or the highly personalized interactive process of consulting the written record. Nonetheless, the style and pace of modern life in an information demanding society requires more than the passive, unobtrusive pattern of public library services that exist today in many communities. Changes such as these, and more, should be incorporated in modern public library services. But, the essential features and functions of providing specialized research, information, and education-cultural services remain at least as much needed as ever in the history of the public library.

Alternative Options for Funding the Public Library

One of the problems in formulating a set of alternative options for funding the public library is the difficulty of estimating the total national cost of a viable pattern of public library services. In this report, some effort has been made to assess fiscally and comparatively the status and level of services which now exists. In general terms, the report has been bluntly critical of the distribution, scope, pattern and content of existing services. It has been noted that total expenditures by states and localities for public library services (including Federal funds) was $814 million in 1971–72.

An effort has been made to characterize and describe the potential role and functions of the public library in meeting the defined needs of a modern society. The points have been made with emphasis that the present system of funding the public library is basically deficient, and that the institution is an underdeveloped national resource. In its present form and at its present level of expenditure, it has not achieved anything like its full potential of service in most communities.

Based on the $814 million national expenditure noted above, the per capita rate of expenditures in 1971–72 was approximately $4.00. An exemplary program, such as found in Nassau County, New York, cost just under $12.00 per capita in the same year. Current calculations for Nassau County indicate a present cost level of almost $14.00 per capita. It is, of course, impossible to replicate instantly and nationwide the type of library facilities and service coverage found in Nassau County. But, it is within the realm of the possible to propose a national per capita cost range of $8.00-$10.00 as the planning base for an adequate national program of public library services. Total national expenditures might then approximate a range of between $1.7 billion and $2.1 billion, based on 1974 population estimates. This would seem to be a more realistic national expenditure figure on which to formulate a set of alternative options for funding the public library. Start-up and other capital costs required to establish new or expanded facilities are in addition to these figures.

There is a series of five options that can be considered in developing alternative systems for financing public library services. They can be identified as: (1) status quo, no change from the present system, (2) a retrenchment of the Federal government financing role, (3) direct Federal funding at a 75–90 percent of total cost level, (4) expanded state funding role to the 75–90 percent level, and (5) a staged funding program moving toward a balanced intergovernmental funding system. These alternatives are intended as a strategic, rather than an exhaustive grouping of possible options. A brief outline of the salient features of each follows:

Alternative Funding Options

1. *Status quo*
   - (a) zero funding of LSCA; complete reliance on revenue sharing
   - (b) continuation of LSCA at current or reduced levels
2. *Retrenchment of the Federal governmental financing role*
   - (a) no Federal funds for public libraries and no Federal policy with respect to public library development
   - (b) variable pattern of state and local support depending upon interest and fiscal capacity
   - (c) heavier reliance upon fees, fines and organized voluntary support
3. *Federalized system of libraries: 75–90% level*
   - (a) direct Federal funding according to Federal standards
   - (b) strategic and directed distribution of public library services to achieve uniform coverage
   - (c) coordinated funding and functional planning of public libraries with other library funding programs under ESEA Title II and the Higher Education Act
   - (d) full development and employment of technology to maximize services at lowest cost
   - (e) authority structure related to Library of Congress
4. *Dominant state funding role: 75–90% level*
   - (a) minimal Federal role and funding
   - (b) limited Federal funding geared to inter-state fiscal disparities
   - (c) relief of local tax burden for libraries
   - (d) fuller utilization of untapped state tax resources
5. *Balanced intergovernmental funding system—Federal, state and local*
   - (a) increased Federal support to meet upgraded library service and development needs
   - (b) revised LSCA to reflect strengthened Federal role and mandate, coordinated Federal state planning for a national program of public library services
   - (c) increased state support to reflect prime responsibility for public library maintenance and development
   - (d) decreased local support role
   - (e) staged approach over ten-year period to achieve improved balance in intergovernmental funding pattern ending with Federal—20 percent, state—50 percent, and local—30 percent of a progressively elevated national expenditure for improved and expanded public library services

Of the five options examined in the light of the library service maintenance and development requirements assessed in this report, clearly, the proposed balanced and strengthened intergovernmental system provides the most viable option.

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CHAPTER 1

The Public Library Finance Problem in Perspective

Developmental Factors

A full variety of fiscal and functional issues now confront public libraries. The resolution of these issues will determine whether we are likely to witness the resurgence or the slow but sure demise of an historic American institution. In 1956, with passage of the Library Services and Construction Act's forerunner, a national policy and support program for public libraries was launched. The future of that policy and program, which expended some $500 million over its 16-year history, is now being debated in terms of alternatives ranging from complete elimination to partial reinstatement in revised form. While the level of Federal support was well under 10 percent of the operating expenditures of public libraries, even the most severe critics of LSCA would agree that the program had a most significant impact on activating increased complementary support programs in many states.

On the functional side, there are serious problems concerning the role of the public library, the organization and structure through which public libraries are administered, and the functional relationships between public libraries and other social institutions, particularly library services operated by the public schools.

The Size and Nature of the Problem

The politically quiet posture of the public library, our "taken-for-granted" attitude about its continued existence, in the face of the increasing information demands of a modern society, sometimes blurs and understates the size and national importance of the financing problem. There are some 1,100 to 1,200 public libraries serving a total of 125 million people in municipalities over 25,000 persons and perhaps as many as 7,000 public libraries in the nation's 20,000 communities under 25,000 persons.

As later detailed in this report, the $814 million (less than $4 per capita) expended by states and localities for public libraries in fiscal 1971–72 was less than that spent for virtually every other domestic service. It was about one-third of the amount spent for local parks and recreation and less than one-sixth the expenditures for police protection. It represented less than 2 percent of state-local expenditures for elementary and secondary schools.

Total general expenditures of state and local governments rose almost 80 percent in the 5-year period 1967–1972, while library expenditures grew by less than 60 percent. By contrast, expenditures for police protection virtually doubled as did spending for health and hospitals. In relation to the increase in personal income during the same period, public library expenditure increased only minimally, while expenditure for police protection and health and hospitals rose by one-third.

Per capita library expenditures averaged $3.90 in 1971–72 and ranged from a low of $1.58 in Alabama and Arkansas to a high of $7.76 in Massachusetts—a factor of almost five to one. Library expenditures per $1,000 of personal income actually fell in a number of states between 1967 and 1972. Almost half the states showed declines in library expenditures relative to personal income.

All three levels of government—Federal, state and local—participate in the financing of public libraries. The Federal share of library financing differs little from its share of local school financing—7.4 percent and 8.0 percent, respectively, in 1971–72. But here the similarity ends. Only 11.7 percent of library expenditures are financed by the states, leaving about 81 percent of the total bill to be financed by local governments. State support for public education, on the other hand, was at a 40 percent of total cost level while the local share was only 52 percent.

Pertinent Issues in the Development of Public Libraries

The public library is a unique social and cultural institution, but that uniqueness should properly be viewed as both an asset and a liability. Concern over the financing system supporting public libraries has greatly increased recently because of erosions and weaknesses in the fiscal condition of local government and, as described above, because of elimination or cutbacks in Federal categorical aid. The problem has deeper roots, however. It also involves changing perceptions of the role of the public libraries, changing library service needs and the response to those needs, changing costs and benefits of library services, and changing perceptions of local, state and Federal roles in supporting library services. Public libraries in this country have a rich heritage in private philanthropy. The transition from private to broad-based public financing under which local and state governments assume basic responsibility for support has been difficult and slow. This factor, plus the low political visibility of public libraries and the more or less isolated organizational status of libraries with respect to other functions of government, may have retarded development of a more stable, responsive system of intergovernmental fiscal support.

The history and development of public libraries are well documented in the literature, but a variety of origins are indicated. Some credit Benjamin Franklin, that inveterate inventor of almost everything, as the originator of this type of library in America when together with some of his associates he founded a library company in 1731. Others cite 1833 as a beginning date when a small public library was established by a group of civic leaders. The important point is that a link was forged between the library and governmental authority when, shortly before 1850, Boston passed a special law permitting the establishment of a public library and levying an annual tax for its support.

Municipal support for public libraries spread to other cities, but the amount of revenue contributed by municipal governments to local libraries was rarely very large. The largest contributors to free public libraries were philanthropists: John Jacob Astor gave $400,000 to New York City to establish and maintain a free public library; other philanthropists included Carnegie, Lenox, Tilden, Fiske, and Mellon among others. The list of Andrew Carnegie's benevolences for libraries is tremendous, even by today's standards. Carnegie funds supported the erection of 1,677 library buildings in 1,408 different communities from 1896 to 1923. In one instance, Carnegie donated $5.2 million for the erection of 65 branch libraries in New York City alone. There is no doubt that this philanthropic outpouring of funds was largely responsible for spurring the establishment and growth of public libraries. In the transition from private to public financing, the governmental role was delayed in emerging and may have been more reluctantly assumed.

Few would deny that the public library met the needs of many immigrants in the late 19th and early 20th century. It is of interest that some revisionist historians now see this effort as more elitist and authoritarian than philanthropic. As Michael Harris in a recent *Library Journal* article puts it:

> In the 1890s came the onset of the "new" immigration from eastern and southern Europe, and an enormous wave of newcomers from Russia, Poland, Austria-Hungary, the Balkans, and Italy arrived in America and settled in the nation's larger metropolitan areas. Many Americans viewed this influx of strangers with alarm and were soon asking the same question that George Ticknor and his fellows had asked some 30 years earlier: "Can we afford to let the foreigner remain uneducated?"

Americans, convinced that education could be the panacea for all their ills, answered with vigorous action. Librarians, like all educators, rose to this new challenge, and programs designed to "Americanize" the immigrant, and thus render him harmless to the American way sprang up in all the major libraries in the country. Librarians left little doubt as to the true purpose of their aggressive new programs. One appropriately named librarian (Miss Countryman) proclaimed in 1903: "I believe still that the library should be an Americanizing institution. . . . Discontent with surroundings and ignorance are the causes of rebellion and disloyalty to one's country, and both of these the library may help to dispel from the foreigner."[1]

The philanthropic energy and perhaps some of the motive is captured for us by Jesse Shera's report of a conversation between Mr. Dooley, that perceptive critic of an earlier American scene, and his friend Hennessey:

> "Has Andhrew Carnaygie given ye a libry yet?" asked Mr. Dooley.
> "Not that I know iv," said Mr. Hennessy.
> "He will," said Mr. Dooley. 'Ye'll not escape him. Befure he dies he hopes to crowd a libry on ivry man, woman, an' child in th' counthry. He's given thim to cities, towns, villages an' whistlin' stations. They're tearin' down gas-houses an' poor houses to put up libries. Befure another year, ivry house in Pittsburgh that ain't a blast-furnace will be a Carnaygie libry. In some places all th' buildin's is libries. If ye write him f'r an autygraft he sinds ye a libry. No beggar is iver turned impty-handed fr'm th' dure. Th' panhandler knocks an' asts f'r a glass iv milk an' a roll. " 'No sir,' says Andhrew Carnaygie, 'I will not pauperize this onworthy man. Nawthin' is worse f'r a beggar-man thin to make a pauper iv him. Yet it shall not be said iv me that I give nawthin' to th' poor. Saunders, give him a libry, an' if he still insists on a roll tell him to roll th' libry. F'r I'm humorous as well as wise,' he says."[2]

Apart from this latter day criticism of these early philanthropic motives, the point to be made is that from the beginning, the public library represented a kind of alternative to public education services. In this sense it was more a traditional than a nontraditional educational resource. As Kathleen Molz has put it, the public library was viewed by some as the last and most independent stage in a hierarchical system of public education. Who could foresee that compulsory public education and the educational revolution led by John Dewey and others would produce a massive, formalized, almost monolithic educational system.

So, the American public library, created to serve informally a wide variety of cultural, educational and informational purposes is described by some as having lost its way in a society which is increasingly complex and fragmented. On top of that, we are part of a continuing revolution in media services and resources which is placing new demands on the traditional role and pattern of services of the public library.

At this stage, the public library is neither an integrated component of the public educational scene, nor is it adequately considered as a general service agency in the mainstream of government. That is the root of the problem. Whether by the particular nature of the services which it performs, or by the traditions of its philanthropic origins, the public library has remained as a quite separate and somewhat unrelated institution, almost quasi-governmental in nature.

A recent analysis of state library policy points out that strong library programs, under aggressive leadership, *can* exist in any of our state political environments. The harsh fact, however, is that, whatever the reasons, many states have lagged in the development of adequately supported public library programs. Political leaders and constituencies in this country have not exhibited sufficient concern for progressive public library development designed to meet changing societal needs. The institution continues to dangle on the periphery of the political and governmental scene.

The Role Issue Revisited

The literature of the public library field can be described as peculiarly defensive—particularly in the abundance of writing that deals with the role question. Some writers cite declining readership as evidence of a reduced role, and others raise questions as to whether the public library has lost its social usefulness. Without minimizing the importance of these data in guiding public libraries toward changes in the nature and pattern of services, this kind of evidence cannot be used to validly suggest a diminished role requirement. It can be argued that the nation suffers from its failure to make fuller use of the written record and from the diminution of contemplative skills and private perceptions attained thereby. Public education, in a compulsory setting, is increasingly criticized for performance failure and there is mounting concern over the steady ten-year decline in high school achievement test scores. The reason for these failures in part may be related to factors producing a reduced use of the public library. The point is that in coming to terms with these problems we can and should alter radically the forms and structures used in providing public education or public library services, but we cannot conclude that learning itself is no longer relevant to the needs of a modern society, or that public libraries have outlived their usefulness.

Shera's response to the role question is worth noting. He sees the public library in terms of what it can and should do, and what no other agency in society does, or at least can do as well.

> The function of the library, regardless of its nature or clientele, should be to maximize the social utility of graphic records for the benefit of the individual and, through the individual, of society. The library, as a social invention, was brought into being because graphic records are essential to the development and progress of culture; hence, it is important that the citizen have access to those resources that will best enable him to operate effectively in his several roles as a member of society. The public library, as its name implies, has been predicated on the assumption that it could meet this objective for all strata of the population.[3]

In any event, consideration of public library financing problems should identify and distinguish among the several purposes and publics served by public libraries. The role and service perspective properly should encompass a library clientele which ranges from the most advanced of researchers to children engaging in their first reading experience. In this context, the public library includes, as Lowell Martin puts it in a later section of this report, both the unique collection of the New York Public Library at 5th Avenue and 42nd Streets and the miscellany of donated books in the upstairs room of the local village hall.

The three major functional areas, later defined, which the public library can and should serve are: (1) specialized and research services, (2) information services, and (3) educational-cultural functions and services. The need for these services is broadly defined to include *all* segments and strata of the general population. In a society featuring the self-realization of each individual, the definition of what is included in specialization, research, information, educational and cultural services is, like beauty and the beholder, in the eye and mind of the seeker—whoever the person and whatever his station in life. The public library is the unique social institution which seeks to meet these widely varying needs.

So, while discussion of the role question should not avoid consideration of performance failures, neither should it ignore intrinsic values and societal needs. It should be recognized that the public library is still functioning, welcoming all comers, providing valuable information and resources, and assisting in the search for knowledge and constructive enjoyment of the world in which we live.

Accordingly, our social institutions and government must recognize more fully the value of the public library and take actions needed to exploit fully its potential through strengthened organizational support and adequate funding systems. The Library Services Act of 1956 represented the first evidence of national government concern with this problem, but it began as a gap-filling device to spur the growth of rural libraries. Moreover, the level of national fiscal support and the funding mechanism established under the Act cannot be described as a full adequately supported national commitment for public library development. State support has lagged in its development and is also at a low level. Local support carries the brunt of the load in patterns which vary widely in accordance with tax base capacities and, particularly in urban centers, the need for other essential services.

Application of the Public Goods Theory to the Funding of Public Libraries

Public library expenditures currently represent only a small proportion of the total cost of governmental services provided by any and all levels of government. The general thrust of this report is to examine the level and assess the pattern of services provided by public libraries, as a basis for outlining alternative funding systems for their support. Such services impact directly on users, but their existence has broader, more indirect effects on individual communities and society at large. Interest and concern have been expressed by the National Commission on Libraries and Information Science and others on the need to explore the public goods theory to assess its relevance to public library finance issues. The objective of this examination is to determine whether the theory can produce guidelines useful in the development of alternative funding systems.

Public Goods Theory: "Private Goods" Versus "Public Goods"

Public goods theory attempts to offer an explanation of what governments do and a justification for what they should be doing. In this connection, the theory provides distinctions between goods (and services) that are privately versus governmentally provided and between goods that are privately consumed and public goods.

Economists refer to "private goods" as those goods and services for which the consumer who purchases the good pays the full cost to the seller. The transaction takes place in the private sector and the individual consumer is thought of as receiving the full benefit of that good.

On the other hand, "public goods" are transferred in the public sector and are thought of as providing societal benefits as well as individual benefits. Such goods are not paid for on an individual basis. The pure public good is not restricted in its consumption to particular individuals. The classic example is national defense. This good is available to all in the nation and no one is prevented from enjoying (consuming) it. Furthermore, it is not desirable to attempt to restrict the consumption of such a good to particular individuals. It is neither desirable nor possible to charge a price for a pure public good. Finally, once such a good is provided for some individuals, it can be almost freely provided for others also.

Public goods have been classified as follows:

1. Those services thought of as providing widespread social benefits that are financed from taxes. These taxes generally bear little relationship to individual benefits. These services are part of the "general environment." Hence, user fees cannot be assessed nor prices charged. Examples of such services are national defense, foreign relations, space exploration, public health, and law enforcement.
2. Those services that are also part of the general environment, but for which user fees are assessed. These user fees are determined to cover most or all the costs.
3. In between the above two extremes are a variety of services that could technically be sold at prices to cover costs. For a variety of reasons, however, such services are financed wholly or in part from general taxes and philanthropic gifts. Examples include public housing, sewerage, symphony orchestras, public and secondary schools, and public libraries.

Theoretical Rationale for Funding Services Including Public Libraries

Four reasons are generally cited for public funding of the above described intermediate group of public goods which includes public libraries.

First, at prices or fees to cover full costs, consumers of all or most income groups may buy less of the service than is in their own long-run interest. The reason may be lack of knowledge or shortsightedness. This argument has been especially prominent in connection with higher education, the belief having become widespread that students and their families may be persuaded by immediate financial considerations to forego investments that would pay off in the long run.

Secondly, the good or service, though capable of being consumed individually and yielding individual benefits, also provides "external" benefits or by-products to society-at-large in forms that improve the general environment. Higher education, or public libraries, may help produce an enlightened citizenry or may enrich and advance the culture to the benefit of those who never attend college or enter public libraries.

Third, the distribution of opportunity may be widened. The prices of strategic goods or services such as housing, food, health services and education may exclude low income people from opportunity. One way to spread opportunity is to sell such critical goods or services at below cost or no cost.

Finally, the distribution of income may be altered. The price of a good or service may prevent low income people from consuming as much as they might wish or even prevent them from consuming any of it. One way to increase the real income of the poor is to sell goods and services to them at below cost or at no cost. Examples are food stamps, medicaid, and education at all levels. Sale of particular goods and services at below cost is chosen in preference to grants in cash because society wishes to encourage the consumption of particular goods and services rather than to leave consumer choices up to the beneficiaries.

In practice, all four of these reasons tend to be intermingled. Society wants to accomplish all of these goals simultaneously.

Public Goods Theory Applied to Higher Education Finance

In higher education, lowering tuition below full cost in public and private colleges and universities of all types has been the response to the above-mentioned societal goals. The costs of higher education have been divided between students or their families and "society" as represented by government and philanthropy. Behind this allocation of costs is the idea that this division should be related to the *benefits* from higher education. But there are two versions of the benefit theory and these are not necessarily congruent: One is concerned with *justice* in the allocation of costs among different persons and groups. The assumption is made that the beneficiaries should pay and that the costs should be divided among them in proportion to total benefits received.

The other version of the theory is concerned with efficiency in allocation of resources. The assumption is made that when a good or service yields both individual and social benefits, its production should be increased beyond the amount that would be called for by individual demand alone. This idea applied to higher education means that tuition should be lowered below cost per student until the combined marginal benefits to both individuals and society are equal to the marginal cost. The deficit should be made up from taxes or gifts.

Application of the Efficiency of Allocation of Resources Line of Reasoning to Public Libraries

A strict application to economic principles of efficient allocation of resources would indicate that libraries should not be devoting much of their resources to supplying the informational needs of business or to leisure time activities, which are viewed in economic analysis as private goods and therefore not to be provided for out of public funds. On the other hand, educational functions and direct services to government are viewed as providing public goods. However, no clearcut blueprint for fiscal support of public libraries can be derived from this sort of analysis. Difficult definitional problems arise, for example, in classifying reading as an educational, informational, or leisure time activity. It can be argued that virtually all reading conveys some benefit to society beyond those benefits accruing to the individual engaging in the reading activity. Hence, the appropriate allocation of fiscal responsibility as between private and public sectors cannot be given by any simplistic calculus of internal versus external effects. Also, even if we assume that the proportion of a particular type of public library activity that redounds to the benefit of the general public could be clearly identified, it is not at all clear what proportions of fiscal support for this activity should be forthcoming from Federal, state, and local levels of government.

A difficulty in the above type of allocation is given by the following example. If "x" percent of a school child's reading of a book borrowed from a public library results in a societal benefit in the form of an improved family and community member and a more enlightened citizen, what proportions of this enhancement accrue to society at the national, state, and local levels? In view of the mobility of our population, the school child who reads a book in a public library of one community may very well live most of his adult life in others. Hence, his contributions will be made in communities other than the one in which he received public library services. Although such an example probably provides a basis of argument for increased fiscal support for public libraries from state and Federal levels of government, the allocation difficulties are manifest.

Use of Public Goods Theory in Developing Alternative Methods of Funding Public Libraries

Despite all of the aforementioned problems, public goods theory can assist in providing a framework for analyses and for casting up normative models against which practical options in public library financing may be measured. Although, as indicated earlier, it may not be very practical to construct a quantitative calculus for the toting up of benefits for individuals and groups, public funds analysis can help to structure ideas about the relationship between the functions and purposes of public library services and the methods of financing these services. However, considerations of justice and social values are clearly important as well as economic efficiency principles. For example, let us consider a problem of allocation of funds for public libraries among public library systems. Suppose that, since public library service is considered to be socially beneficial, financial support were to be allocated on the principle of maximization of library use. Most of the funds would be distributed to library systems that serve relatively well educated and affluent communities, and relatively little resources would be devoted to communities containing disadvantaged populations.

The question of appropriate fiscal support for public libraries cuts across problems of differential needs for library services, equalization of resources, and consideration of fiscal autonomy and control of libraries. Practical political constraints of Federal, state, and local governmental relationships, the structure of social values, and matters of economic equity and efficiency must all be given due consideration in choices among alternative options for fiscal support of public libraries.

Summary of Conclusions

The economist's "public goods theory" can be helpful in providing a general conceptual framework for the development and analysis of alternative methods for the financing of public libraries. However, because of the embryonic nature of the theory, it cannot at this time provide specific and detailed guidelines concerning the normative or proper allocation of fiscal support for a complicated public sector activity such as the public library. An optimal or equitable allocation of the costs of public library services involves matters of political philosophy and social values as well as factors of economic efficiency. Hence, any feasible solution to the problem of the appropriate method of fiscal support of the public library institution must be a broad-gauged one that takes into account the whole range of factors and environmental forces which impinge upon that institution. In this context, the following conclusions may be drawn.

1. In view of the multifaceted research, informational, and recreational services provided by public libraries and the widespread public and private benefits derived from these services, public goods theory would support a multilevel system of financing involving Federal, state, local, and private sources of revenue.
2. Although public goods theory provides reasonable guidance on the distinction between services that should be financed from public versus private funds, the theory provides relatively little counsel on the appropriate allocation of fiscal support among the Federal, state and local governmental hierarchy.
3. Because virtually every activity of public libraries may be viewed as having societal effects, even the delineation between services that produce private rather than public benefits cannot be precisely drawn.
4. The development of equitable and feasible solutions to the problem of public library financing properly must involve a general

consideration of economic principles and effective compromises among a large number of often conflicting political, social, and economic factors.

FOOTNOTES

1. Michael Harris, "The Purpose of the American Public Library: A Revisionist Interpretation of History," *Library Journal*, Vol. 98, No. 16, September 15, 1973, p. 2512.
2. Jesse H. Shera, "The Public Library in Perspective," *The Metropolitan Library*, edited by Ralph W. Conant and Kathleen Molz, The MIT Press, Cambridge, Massachusetts, 1972, p. 110.
3. Jesse H. Shera, "The Public Library in Perspective," *The Metropolitan Library*, edited by Ralph W. Conant and Kathleen Molz, The MIT Press, Cambridge, Massachusetts, 1972, p. 106.

CHAPTER 2

Role and Functions Served by the Public Library: Reaffirmation, Revision and Projection

Introduction and Purpose

The preceding review and appraisal of the origins, growth, present status of the public libraries, and a theoretical basis for their support provides a developmental and economic perspective for formulating alternative funding systems. However, any substantial effort focussed on public service funding problems and mechanisms must include analysis and definition of role and functions. This is particularly true in the case of public libraries where, as previously indicated, questions about role and changing patterns of service are current.

What follows is the result of such an in-depth analysis and is presented in terms of the broad categories of functions and services public libraries should provide—now and in the future. The intent is not to document, assess or justify past failures and present service deficiencies, although judgments in these areas are reflected. The analysis is intended to answer two basic questions which, stated bluntly, are:

1. What is the role, today and in the future, for the public library in meeting defined needs of a modern society? and
2. What is the general form and nature of the functions and services which the public library should provide?

The answers to both of these questions are relevant to the design of alternative funding systems for providing adequate fiscal support.

The public library, as it has evolved in the United States, must be seen as a multi-purpose agency. Its clientele varies from the most advanced of researchers to children engaging in their first reading experiences. To one person, the "public library" is the unique collection of the New York Public Library at Fifth Avenue and 42nd Street; to another, it is the miscellany of donated books in an upstairs room of the local village hall. Thus, consideration of public library financing must distinguish among the several purposes and publics served by the institution. These contrasting functions, seen in relation to goals of the national life and in relation to legal and de facto responsibilities for services at the several governmental levels, provide guidelines and constraints for defining the financing requirements of this multi-purpose agency.

This statement seeks to identify the main purposes of the public library and to present these in functional rather than social terms, i.e., in terms of services given and not of social goals achieved. As major functions are identified, they will be related to potential user groups. The analysis thus recognizes that there is limited evidence of social goal attainment. It also recognizes that there is an essential element of faith underlying public maintenance of libraries. The same element of faith underlies other governmentally-supported agencies, starting with the schools.

The gap between potentiality and actuality, the failure of the public library to maintain resources and services needed by some people in some localities, while providing these same services for other people in other localities, is a measure of shortcomings under present sources of funds. The inadequacies of the little library upstairs in the village hall, and equally of the large city library seeking to meet regional demands for recorded knowledge, reflect unfavorably not on the public officials and the professionals responsible for service, but on the structure for funding the institution.

There are three major areas of social, cultural and educational needs in modern society which the public library is uniquely designed to serve. They are: (1) specialized and research services, (2) information services, and (3) educational-cultural services. In no sense can the public library meet all, or even a major part, of these needs, but the institution is an essential adjunctive resource accessible to all who seek to improve the quality of life. A description of these services follows.

Specialized and Research Services

The advanced technology, the inter-dependent free enterprise system, the complex governmental structure and the belief in self-realization which characterize the United States all call for a continual search for knowledge. This search has been a driving force in American life, along with the drive for productivity and the drive for individual freedom. Any diminution in the pursuit of knowledge, like any serious reduction in industrial output or individual liberties, may profoundly alter our way of life.

The search for knowledge is not confined to the university campus and the research laboratory. Application of new knowledge, relating what is learned to practical affairs, is part of the American genius. This task is carried out by individuals in high places and low, and by practitioners in big city and small hamlet. The specialist may be a person who knows more about steel production or foreign markets or children's disabilities or regional literature than anyone within a thousand miles—and yet he must consult the record of knowledge. Or the searcher may rank as "specialist" only because he has somewhat more background than other nearby individuals—the local building contractor, the school principal, the resident historian, the personnel director of a local plant—and he too needs recourse to the accumulated record. The function of the professional—doctor, lawyer, engineer—is to relate established knowledge to specific problems; part of this background derives from the professional's training, but part must be searched out as cases arise. There is even the amateur scholar, not a university professor or a research chemist, who is simply investigating on his own the more esoteric sources a library can provide. His search may focus on the newest discoveries in radio, astronomy or the oldest origins of the American Indian.

Both the pure researcher and the applied practitioner, the national authority and the local specialist, need an organized record of knowledge. The search for the new and the application of the old equally proceed from what is known. Many of the specialized activities of the society start with a visit to the reservoir either as preparation for venturing into the unknown or as preparation for bringing what is known into the daily round of life.

Libraries of various types—academic, private and public—are a primary means for preserving the record. The library is the Delphic Oracle of this knowledge-based society, except that the individual petitioner interprets the signs himself. Even the ancient civilizations had their libraries, and it is their content rather than the pronouncements of oracles that has come down to us.

The public library in one of its guises plays a strategic role in the interpretation and application of knowledge. It is not pre-eminent in supporting pure research, although a few public libraries contribute at this frontier level. But where they have the capacity, these libraries are the resource of the specialist, who in essence is an adaptor and applier of knowledge. This holds not just for the few public libraries of national stature but for agencies with any depth and scope of holdings dotted in regions across the land.

Such a unique institution as the Research Division of the New York Public Library is focussed at the research level. It is different in kind as well as in size from a branch library in a city or a suburban library or a county library, even though all are termed public libraries; its natural associations are rather with major universities and the outstanding private collections (the Morgan Library, for example). City libraries from Boston to Los Angeles, while making only a limited contribution to basic research, are a vital linkage in the spread and application of knowledge by practitioners and specialists. The business executive, the factory manager, the government official, the journalist and the urban planner, the school superintendent, even the amateur scholar are likely to have frequently-consulted sources immediately at hand, but when they must go beyond the routine, or research the exceptional problem, their recourse is to the public library.

Central collections in larger city libraries are able to handle part of the range of such requests. This capacity is enhanced if the agency develops specialized subject departments with staff as bibliographic specialists in subject fields. Performance in Baltimore and Cleveland and Los Angeles and many another center attests to such accomplishment. Libraries of this size and type may function as "city" departments, but actually serve metropolitan regions and in some cases whole states or inter-state areas. Their financial base is a municipality; their clientele is regional; the effect of their service may be national.

Even the more established of the city libraries have difficulty in meeting the full range of requests for advanced and specialized materials, while called on at the same time to serve as the "other" public libraries outlined below. At this "research" level they seek to cooperate with nearby university libraries, and with state agencies, in systems and networks only partially built and poorly financed if funded at all.

What of the medium-sized libraries in centers without strong academic or industrial research collections—El Paso, Texas is a suitable example? This burgeoning area may not have as many "specialities" as Philadelphia or Chicago or Los Angeles, but its leaders are seeking to plan the economic and social life for a half-million people. Its specialized and research resource, the city public library, is an agency not much stronger than a well-established suburban library, and it stands virtually alone in its region.

And what of the almost one-third of the American people living outside of metropolitan areas? Are the industrial, governmental, health, educational, and cultural needs and problems of Ticonderoga, New York and Bisbee, Arizona necessarily so simple that the application of recorded knowledge is not needed? These and other nonmetropolitan areas are part of a specialized society but they lack even the semblance of specialized library service. If technological publications are maintained at public expense in the public library for the steel industry of Pittsburgh, should they not also be maintained for the paper industry of upper New York State and the mining industry of southern Arizona. If a diversified collection on pedagogy in the Los

Angeles Public Library stands behind the school systems of that metropolitan area, should not comparable back-up be provided for the school systems in Ticonderoga and Bisbee and a thousand smaller centers? If the answer is yes, the next question is not how this can be achieved—modern communication technology can bridge great distances—but the question is from what sources it can be financed adequately.

The public library started as an agency ". . . to keep the people out of the saloons." Localities, even in early days, saw fit to put public money into such an enterprise. The institution has developed, in one of its metamorphoses, into a source of advanced knowledge for specialists in a complex society. Even in smaller places it is approached for this purpose, though it is seldom able to respond. The individual making the request, in large city and small, may be from outside the local jurisdiction or even from a distance. There is hardly a public library in the country that stops the user at the door if he does not live in and pay taxes in the locality. What started as a neighborhood social agency has evolved—for lack of any other source to appease the demand for knowledge—into an outlet for a national commodity that underlies all aspects of modern life. Yet, its financial base has remained the local property tax. Small wonder that the reservoir of recorded knowledge is dry in too many parts of the country, and insufficient to meet growing needs in most. We are trying to carry out our business—economic, social, and personal—without providing sources of the intelligence on which sound decisions must be based. This is not from lack of interest or even from lack of effort—indeed, various commercial, partial and temporary services have sought to fill the void in accessible recorded knowledge—but rather from lack of a financial base appropriate to the demand. This holds true in Baltimore, Cleveland and Los Ageles, as well as in Ticonderoga and Bisbee.

Two alternative approaches are open to try to meet the needs of American society for specialized and research resources through medium-sized and larger public libraries. One is to expand their collections as rapidly as possible, so that El Paso will come to have a public resource as strong as that in Baltimore, and Baltimore as strong as that in New York. The other alternative is to tie the local library into a regional or national network that permits it to draw rapidly on resources over a wide area. The objective is to exploit and capitalize on the special quality of the printed page. This is a resource that is not depleted no matter how often consulted.

The first approach of expansion is the policy that has been followed for the last half century, and it has resulted in uneven and inadequate facilities at advanced and specialized levels. The second alternative depends on intra- and inter-state networks which do not exist and for which the financial means are lacking.

Information Services

Knowledge and information are closely related, and in fact overlap. There would be little point in trying to distinguish between them except that demand for factual information, extracted from the larger body of knowledge, has prompted another of the functions of the public library—that of information center in the community. The demand has come not just from a minority of researchers and specialists but from a wide segment of the population.

At this level the public library is turned to for what may be called specific information rather than organized knowledge. The data sought may be the amount of cholesterol-producing ingredients in eggs, the tensile strength of copper, the voting record of a candidate for political office, the date of a symphony concert, or the price of a stock on the market five years ago. For the student it may be the date and details of the Battle of Austerlitz or the rate of response of B. F. Skinner's pigeons.

If extensive knowledge is needed by specialists to apply theory and principles to the working world, information is needed by all individuals to live and function within that world. They may not know exactly what the terms for the ingredients in eggs mean, they may not contribute to any further understanding of these ingredients, but they will decide whether to control their intake of a given food on the basis of information about it. As the knowledge about cholesterol, or any other subject that affects him, is built up by research, the individual wants the facts so that he can act in an informed way.

Information may be needed more by the under-educated than by college graduates precisely because they have not acquired the information from a long period of formal education or a superior home environment. The under-educated person is disadvantaged, not because of inferior intelligence or weaker willpower, but because of limited information for dealing with life situations as they arise. Adequate information channels are needed at least as much for the inner city and depressed rural areas as for the more "literate" society.

In providing information, as in the support of specialization, the public library does not have a monopoly but shares the function with many sources. Newspapers, radio, and television report immediate events and a flow of periodicals reinforces this current distribution. Commercial interests present their story through advertising and governments maintain a voluminous flow of information. People turn for information to other individuals, including specialists who are well-informed and friends who may be as uninformed as the inquirer. Some people have encyclopedias or other sources in the home or office which, like the specialist's own special library, aid them in more predictable searches but are inadequate beyond a certain limited scope. There is also an increasing information need to evaluate or confirm the tremendous volume and variety of sponsored communication designed to establish certain viewpoints or courses of action. Such communication may contain selected facts and sometimes distorted facts. This need for information and objectivity arises in sensitive areas such as politics, religion, consumer products and community affairs.

Given this ever-present need for information, and the uncertainties of other sources, some people turn to their public libraries. Libraries have responded with the "reference" desk staffed by information librarians and with "reference" collections containing publications of a more specifically factual nature. The count of reference questions handled has continued steadily upward in most public libraries, even where statistics of books circulated for home use have recently declined. Where libraries have organized to handle inquiries by telephone, the rise in demand has been considerable. The Enoch Pratt Free Library in Baltimore, for example, handles over one million inquiries per year, more than half by telephone. At its central unit, this library maintains a specially-trained staff to respond to telephone inquiries. Reference sources are available at arm's reach by means of an ingenious series of rotating shelves.

It would be an exaggeration to claim that public libraries meet all or most unfilled information needs. Repeated studies have shown that people, in general, do not think of the public library as an information center. Libraries, on their side, too often confine themselves within the limits of their collections. They provide data if it has moved through the process of publication and appears within hard covers, but not if it can be obtained only from reports or journals or directly from organizations or experts. This is another of the partially realized functions of the public library.

Some libraries have been reaching back to gain access to wider information. This may be achieved by linkages with other libraries and information centers, or by establishing direct contact with verified sources. In a few instances computerized data banks are being established. The urban information program in Brooklyn is an example. Other libraries have been reaching forward, not only gathering information, but taking steps to disseminate it by means of bulletins, reports to agencies and organizations, and communication through mass media. One view of reference service stresses not only information per se—where to obtain a government service, how to get medical help, sources for particular kinds of training—but also advocates follow-up service to be sure the assistance sought is actually obtained.

Unified organization and centralization of information in a pluralistic society is not feasible and would not be desirable if it were feasible. The public library is one among a miscellany of information sources. But a recognized and ready-to-serve entry point to the information matrix is desirable when specific sources are not known to the inquirer, or when other sources fail for whatever reason. The public library essentially serves this role: it has at least part of the great welter of facts, and it could stock more. The library has identified and opened contact with various sources of unrecorded information. It should make and maintain more such contacts. Part of its data is organized for retrieval, and additional systems are within reach. The public library has a considerable way to go before it can properly be called the strategic access point to information sources, but it is the most promising conduit that exists. The decision to be faced is how an information agency providing this essential service for the American people is to be financed.

Educational-Cultural Function

The public library was advocated by its founders as an informal educational agency for lifelong learning. Many viewed the library as a continuation of the common public schools established early in the 19th century. Others viewed the public library as a means for all to get the benefits of advanced education that were then only open on a formal basis to the few.

Explicit educational aims and programs, slow to develop within libraries, were stimulated by the waves of immigrants before and after the turn of the century and, later, by the adult education movement in the 1920's. In cities the community libraries served as "schools" for newcomers seeking citizenship and jobs. For more established and educated residents, the larger public libraries developed structured "reader advisory" services, providing planned reading for everything from ancient Egypt to modern art, from child development to salesmanship. Book discussion groups proliferated in libraries, and lectures and film showings were the order of the day.

All this was in response to a search for cultural background on the part of some adults, and to ambitions for economic advancement on the part of others. The collection was the educational resource and the librarian was the guide to its use, thus providing both the "curriculum" and the "instructor" in a form suited to out-of-school adults. In the phrase of the period, the public library was "the people's university." The educational potential of the institution was thus demonstrated.

In recent decades, during which time the formal educational programs and facilities have expanded, the educational aim has become less distinct and explicit. Library staff attention has shifted more to reference or the kinds of information services described above. The largest libraries were able to build subject staffs and collections to serve specialists, the first function outlined above. The readers' adviser, as a separate position, has disappeared; what reading guidance is provided is given by the information librarian or by the subject bibliographer.

Readers have found a large part of their intellectual and cultural interests increasingly satisfied by a deluge of widely available popular publications, in both book (paperback as well as hard cover) and magazine form. The publisher appealed directly to a growing public that had earlier turned to the public library. Pervasive cultural-educational communication, in many media, now characterizes our social matrix.

The library, in turn, responded to the proliferation of print by itself stocking these same popular publications, and it retained part of its adult public by this means. In the middle-class sections of cities and in suburban areas, the agency continues to be used heavily for this purpose—in some cases so heavily that planned educational services are never launched. The contemporary public library, in its provision of popular reading, serves much as does a well-stocked bookstore, providing titles in greater demand, duplicating copies when its budget permits. Some people prefer to get such general reading from commercial sources, while others prefer the cost-free selection of the public library.

The social result of meeting the readership need can be characterized more as cultural than educational. Culture is here defined, not in the sense of being limited to literature and the arts, but in the sense of reflecting the interests and concerns of educated people and represented by the popular presentations, analyses and commentaries. A substantial biography of Eleanor Roosevelt is issued, an analyst presents his views on the rate of change under the title of "Future Shock," a popular book on diets appears, or an analysis of a recent presidential campaign; these are the types of books which many people obtain from their library. By this means cultural exchange is maintained and prevailing ideas and values shared. The net effect of this part of the public library's program is similar to that of a well-edited magazine of broad interest, or of a book club that caters to the followers of the more substantial popular literature. In its less focussed form, this service by the library shades off into purely or primarily recreational fare, not sharply distinguished functionally from the images on the television tube.

One group of public library users goes well beyond the best-sellers and uses the public collection to survey the range of contemporary ideas and problems. This is neither the specialist, nor the person seeking specific facts, nor the reader of a best selling book. In one sense this is the alert, responsive adult par excellence, carrying on a dialogue with fertile minds on all topics that touch his needs and fancies. For these individuals, use of the public library is not primarily an economic consideration—borrowing a book without charge that they would otherwise have to buy—but rather a matter of intellectual supply and access. The public agency is the only source that has the range and level suited to their inquiring minds.

Another segment of users pursues utilitarian ends. Water-proofing a basement, exploring a different field of employment, planning a vacation, preparing a talk for a community group—these and other practical endeavors call for consultation of the record. In such use, the non-specialist is using knowledge in much the same way as the specialist, albeit at a less advanced level.

The formal student, in school and college, turns to the public library. Some children in the early school years use the community agency as the door to the world of reading. More advanced students do their kind of "research" in the public library. It is worth noting that resources for students within their educational institutions, in school media centers and in college libraries, have been markedly strengthened in the past decade, and these in-school resources can be integrated into the instructional program. The public library functions more as an auxiliary than as a primary source for the student, serving him when he reaches beyond his school resources and ventures into the larger world of recorded knowledge.

Two educational strains have lately appeared, or re-appeared, in public library programs. One is reaching out to non-users, particularly in the inner city. Part of this effort seeks to relate traditional library resources and references to the particular problems confronting the poor and the undereducated; part aims to modify both the content and the form of the collection and the service role of the librarian to suit this potential user group. A second current effort depends on the library as the locus of "independent study" at the college level, in self-study programs pursued by individuals seeking degrees without attending formal classes on campus. The librarian in this plan becomes an educational counselor and the collection the body of learning materials.

The extent to which the educational-cultural function of the public library can and should be expanded depends on the quality of life that people will be seeking and on the extent to which provision for that life is considered to be a public good worthy of financial support. Many individuals are searching for purpose and values. Others seek mental and sensual adventure. These are positive experiences for which people aspire, and they result in a different kind of educational-cultural use of libraries than the solving of an immediate problem, or preparation for future accomplishment. We have tended to see education as a means to an end—the competent worker, the informed citizen, the effective parent. As life values and life styles are revised, we may come to see the play of the mind and the play of the senses as worthwhile experiences in themselves. At that stage the public library would become not only the people's university, to be used when they want to learn something, but also the people's cultural center, to be used as part of a full life. Use of media in all forms—aural and visual and tactile as well as graphic—would be seen not just as a solemn preparation for living but as an aspect of living itself. The librarian in this conception would serve, as do other professionals, as experts in use of resources, not so much to solve problems and attain ambitions, as for self-realization and self-expression.

To the extent that the United States has lost its sense of direction and its citizens face a long period of uncertainty and frustration, this prospect is visionary. But if we are going through a transition period, groping beyond affluence to meaning, a public agency providing the richness of cultural experience may be for adults as important as the school is for children—and it may even be more fun.

Technological Applications: Scope and Limits

Advances in computer handling of data and in new forms of telecommunication will facilitate each of the functions of the public library. Potential applications will be touched on here, but only to the extent that they involve funding sources in support of new and emerging patterns.

The first problem confronting the specialist and researcher is to determine what has already been issued on his problem and where it can be consulted. This is a bibliographical question. To answer it requires first a record of what has been published, analyzed as to subject content and indexed under terms that the searcher is likely to use. The record must show where the material is located. This index must be available in some form directly to the specialist. MARC tapes being issued by the Library of Congress takes the first steps in this direction. Extension of the existing network of bibliographical information is feasible technically, but will call for funds for research and development. Public libraries, if tied into a national bibliographic system, would then have the capacity to inform specialists of what exists in their fields and where it can be obtained.

The next step is to establish access to the documents themselves. In the past some researchers have traveled to the source of reference materials; others have obtained use of material through inter-library loan which entails a delay and sometimes is impractical.

Long-range projections envision the library-in-the-computer with electronic access from a distance, but it is one thing to store and gain rapid access to a finite number of datum involved, for example, in a bibliographical index or an airline reservation system in an electronic memory. It is quite another to store all the concepts and relationships contained in a library of several million volumes and similarly retrieve what is needed on demand. The earlier step will likely be facsimile telecommunication which will permit consultation of a document at a distance. However, unlike extension of the bibliographic information system, this will involve not only further research and development but very substantial investments in equipment.

Computer storage and new communication channels will shortly also affect the information function of the public library. One important prospect is cable TV. The significance of this is not simply that images can be carried to viewers—standard TV already does this. The significance is that a much larger number of channels will be opened, permitting informational as well as entertainment messages. Also, the communication between the source and the receiver can be two-way. This development will replicate the telephone, except that with cable TV the image is visual as well as aural. The cable itself, however, will not generate information; it will have to connect some source with some seekers. The public library will stand in a strategic connecting-link position in this chain of information. Realization of this project calls not so much for mobilization on a national level, but more within states and metropolitan regions. This prospect involves additional levels of funding sources, between the national and state levels on the one hand and the local tax base on the other.

It must be emphasized, however, that by no means can all needs and problems of access to recorded knowledge and information be solved by new technology. It would be a mistake to put substantial sums into computerized networks without reviewing and improving the total knowledge-exchange system, including intellectual and human components. No computer can make content available until it is first acquired, and we are short of acquisition programs that assemble all the material that is needed. Nor can the computer reproduce material on demand unless it is first bibliographically organized in a way that dovetails with use, and here again any known scheme falls well short of perfection. This is not a problem of machine capacity but of insight into how knowledge is used and how it should be organized for retrieval.

Limitation in technology as the solution to knowledge-information utilization can be illustrated with the example of tele-communications. We have had two-way communication between information source and information searcher and multiple channel capacity since the invention of the telephone. Yet, neither the library nor other information sources have been fully utilized. Cable TV, it is true, will add the visual image but this may not be the heart of the matter. The human factor as well as machine capacity must enter into the equation.

Education-cultural experience is mental and emotional. Fresh communication channels and information banks can stimulate response and promote understanding in some cases where older forms are not effective, as they have to a limited extent in the classroom. Nonetheless, it would be a mistake to depend on hardware to deal with problems that are rooted in human motivation. Rather than the computer, or long-distance transmittal of communication, it may be that familiar media forms—art, film, recordings, models, games—may retain the greater impact on adult response. The public library has been print-oriented in the past, and it has served that portion of the lives of people that can be captured on the printed page. As it becomes a media center in the community, providing a multi-media environment, the public library will relate to the full range of experience of people as they seek self-realization. Here again any significant advance runs into the question of the sources of funds—fully developed multi-media libraries cost most than single-media libraries. We have built up an agency for the public provision of books—where is the agency for similar provision of other forms of communication?

Conclusions

The public library is a multi-purpose institution with divergent, but not unrelated, functions. It is also a partially-realized institution; its aims are consistent with American needs and aspirations and the public, in general, accords it a degree of respect. But, as with many other educational and social programs, performance of the institution is not in line with expectations. As concern grows with the quality of life, the past tolerance of a gap between professed goals and actual accomplishments is being challenged on various fronts. The challenge comes from persons outside and within the establishment. A financing base realistically designed to close the gap would have impact on a wide spectrum of the American people.

The public library is a unique institution which can thrive best in a free society. If one could somehow combine the research division of the New York Public Library, the central unit of the Enoch Pratt Free

Library in Baltimore, and the most active of the suburban libraries in California, then attach the structure of the most developed county libraries of the South in order to reach small towns and rural areas, he would have a bulwark of knowledge at the several levels—specialization, functional information, cultural education—equal to the needs of the economy, of the public life, and of personal aspirations. But the average public library, the usual agency serving people across the land from metropolis to remote crossroads, is a pale shadow of a research source—a fragmentary information center and a pallid educational force. We have invented a potentially powerful institution and have demonstrated, here and there, that its potential can be realized. But we have tried to nurture this national resource within the confines of a highly circumscribed local fiscal base and inadequate financing measures. We have taken functions that are national, state-wide, regional, and local in impact, and sought to sustain them all with public monies collected primarily to provide distinctly local services.

The belief is emerging that, in a democracy, one cannot educate the child in one locality at one level and the child in another locality at another level, and long maintain the democracy. People affect not just the block on which they own a house and the town in which they live, but they affect the body politic and the entire social fabric. Similarly, knowledge is not a local convenience commodity, like public swimming pools, that can be provided at a high level in one sector and not in another, and long maintain productivity and freedom. The United States must look to its knowledge resources as it looks to its human and natural resources. It has a public agency for the purpose, but it has not worked out a rational financial structure for that agency.

CHAPTER 3

Analysis of Fiscal Factors and Intergovernmental Financing Patterns

Purpose and Background

With the advent of Federal general revenue sharing and the consequent curtailment of Federal categorical grants for libraries, there is considerable concern regarding the future of the public library system. It is the purpose of this analysis to review the present system of public library financing within the general framework of state and local government finance. In this context, general conclusions can then be drawn regarding alternative means of financing the public library function.

It is, however, a difficult time to draw general conclusions and formulate definitive alternative recommendations applicable to the field of intergovernmental finance. The passage and implementation of general revenue sharing has introduced pervasive factors and forces of unknown potential in basic intergovernmental fiscal arrangements. Some would argue that the concept of revenue sharing was never intended to be linked with a wholesale elimination of Federal-state-local categorical aid programs. Certainly, there appears to be rising opposition in the library finance field, and in other program areas, to such a linkage. The effort to revise and combine categorical grants as block grants under the revenue sharing program is now being debated in the Congress. Certain categorical programs have been restored or continued and, as discussed elsewhere in this report, a new Federal funding initiative in public library finance is being discussed and may soon be submitted to the Congress. Details of the new initiative, described as a Federal Library Partnership Act, have not yet been fully developed nor made public. However, President Nixon in his education message of January 24, 1974, has defined a new and broader Federal role as follows:

> "While I continue to believe that state and local authorities bear the primary responsibility for the maintenance of public libraries, I also believe that the Federal government has a responsible role to play."

TABLE 1.—COMPARISONS OF EXPENDITURES FOR SELECTED STATE AND LOCAL GOVERNMENT FUNCTIONS, 1967 AND 1972

FUNCTION	1972			1967			Percent Increase 1967–1972		
	Amount (millions)	Per capita	Per $1,000 pers. inc.	Amount (millions)	Per capita	Per $1,000 pers. inc.	Amount	Per capita	Per $1,000 pers. inc.
Total general expenditure	$166,876	$800.00	$194.70	$ 93,350	$471.79	$160.81	78.8	69.9	21.1
Public libraries	814	3.90	.95	518	2.62	.89	57.1	48.8	6.7
Local schools	45,658	218.88	53.24	27,590	139.44	47.53	65.5	57.0	12.0
Health and hospitals	12,867	61.68	15.01	6,640	33.56	11.44	93.8	83.8	31.2
Police	5,976	28.65	6.97	3,049	15.41	5.25	96.0	85.9	32.8
Local parks and recreation	2,323	11.14	2.71	1,291	6.52	2.22	79.9	70.9	22.1
Population, July 1 (000)	208,596	—	—	197,863	—	—	5.4	—	—
Personal income, 1966 and 1971 (millions)	$857,085	—	—	$580,484	—	—	47.7	—	—

Source: U.S. Bureau of the Census, "Governmental Finances in 1971–72" and "Census of Governments, 1967," Vol. 4, No. 5: Compendium of Government Finances.

It is, therefore, reasonable to expect that Federal categorical funding support for public libraries, in some form, will be continued. This analysis of the financing patterns for public libraries, and the comparisons with general criteria and other intergovernmental financing patterns should assist the resolution and final development of an improved fiscal base for public library services.

The Public Finance Dimension

Recent Trends in Public Library Expenditures

The $814 million (less than $4 per capita) expended by states and localities for public libraries in fiscal 1971–72 was less than that spent for virtually every other domestic service. It was about one-third of the amount spent for local parks and recreation and less than one-sixth the expenditure for police protection. It represented less than 2 percent of state-local expenditure for elementary and secondary schools.

Total general expenditure of state and local governments rose almost 80 percent in the 5-year period 1967–72, while library expenditure grew by less than 60 percent. (See Table 1.) By contrast, expenditure for police protection virtually doubled as did spending for health and hospitals. Because personal income grew almost as fast as did expenditure for libraries during the same period, the latter increased only minimally relative to personal income, while related expenditure for police protection and health and hospitals rose by one-third.

Interstate Variations

Per capita library expenditure averaged $3.90 in 1971–72 and ranged from a low of $1.58 in Alabama and Arkansas to a high of $7.76 in Massachusetts—a factor of almost five to one. (See Table 2.)[1] As is the case for expenditure in general, the Southeast registered the lowest per capita amounts, while the Midwest, New England and the Far West spent the largest amounts. Because personal income grew at considerably different rates in individual states, it is not surprising that library expenditure per $1,000 of personal income actually fell in a number of states between 1967 and 1972. Almost half the states showed declines in library expenditure relative to personal income. In a dozen states, the drop was more than 15 percent.

Governmental Source of Financing

As in the case of local public schools, all three levels of government—Federal, state and local—participate in the financing of public

TABLE 2.—STATE AND LOCAL EXPENDITURES FOR LIBRARIES, 1967 AND 1972, BY STATES AND REGIONS

	Dollar amount (thousands)		Per capita		Per $1,000 pers inc		Percent incr. or decr. (-) 1967–72		
	1972	1967	1972	1967	1972	1967	Amt	Per capita	per $1,000 inc
United States	**$814,181**	**$518,186**	**$ 3.90**	**$2.62**	**$ .95**	**$ .89**	**57.1**	**48.9**	**6.7**
New England:									
Maine	2,536	2,134	2.46	2.19	.74	.88	18.8	12.3	—15.9
New Hampshire	3,194	2,432	4.14	3.54	1.11	1.28	32.4	16.9	—13.3
Vermont	1,536	1,368	3.32	3.28	.93	1.28	12.3	1.2	—27.3
Massachusetts	44,931	27,401	7.76	5.05	1.71	1.55	64.0	53.7	10.3
Rhode Island	3,192	2,367	3.30	2.63	.81	.87	34.9	25.5	—6.9
Connecticut	15,992	12,733	5.19	4.35	1.04	1.24	25.6	19.3	—16.1
Mideast:									
New York	108,271	60,563	5.90	3.30	1.18	.95	78.8	78.7	24.2
New Jersey	35,481	26,143	4.82	3.73	1.01	1.10	35.7	29.2	—8.2
Pennsylvania	25,155	16,568	2.11	1.42	.51	.48	51.8	48.6	6.3
Delaware	1,520	1,034	2.60	1.98	.58	.57	47.0	35.9	1.8
Maryland	21,989	4,676	5.42	3.99	1.21	1.27	49.8	35.8	—4.7
Dist. of Columbia	8,837	5,668	11.81	7.01	2.00	1.78	55.9	68.4	12.4
Great Lakes:									
Michigan	30,347	24,069	3.34	2.80	.76	.87	26.1	19.3	—12.6
Ohio	22,702	16,712	2.11	1.60	.51	.53	35.8	31.9	—3.8
Indiana	16,913	13,801	3.20	2.76	.80	.91	22.5	15.9	—12.1
Illinois	54,661	28,575	4.86	2.62	1.02	.75	91.3	85.5	36.0
Wisconsin	19,857	23,265	4.39	3.17	1.13	1.07	49.7	38.5	5.6
Plains:									
Minnesota	18,913	9,682	4.67	2.70	1.22	.93	95.3	73.0	31.2
Iowa	8,176	7,770	2.84	2.82	.74	.94	5.2	1.0	—21.3
Missouri	17,688	12,806	3.87	2.78	.95	1.00	38.1	39.2	—5.0
North Dakota	2,176	1,118	3.44	1.75	.98	.73	94.6	96.6	34.2
South Dakota	4,174	1,451	6.15	2.15	1.80	.88	187.7	186.0	104.5
Nebraska	4,988	3,115	3.27	2.17	.82	.75	60.1	50.7	9.3
Kansas	5,772	4,901	2.56	2.15	.61	.75	17.8	19.1	—18.7

Southeast:									
Virginia	15.549	9.357	3.26	2.06	.85	.80	66.2	58.3	6.3
West Virginia	4.238	2.376	2.38	1.32	.73	.60	78.4	80.3	21.7
Kentucky	5.650	5.367	1.71	1.68	.52	.75	5.3	1.8	—30.7
Tennessee	9.601	6.758	2.38	1.74	.73	.78	42.1	36.8	—6.4
North Carolina	17.545	6.209	3.36	1.23	.99	.55	182.6	173.2	80.0
South Carolina	5.038	2.670	1.89	1.03	.61	.50	88.7	83.5	22.0
Georgia	9.231	4.892	1.96	1.08	.55	.46	88.7	81.5	19.6
Florida	17.033	11.276	2.35	1.88	.62	.73	51.1	25.0	—15.1
Alabama	5.445	5.387	1.55	1.52	.51	.74	1.1	2.0	—31.1
Mississippi	4.535	3.939	2.00	1.68	.72	.95	15.1	19.0	—24.2
Louisiana	12.271	7.465	3.28	2.04	1.02	.91	63.7	60.8	12.1
Arkansas	3.135	2.297	1.58	1.17	.52	.58	36.5	35.0	—10.3
Southwest:									
Oklahoma	7.778	5.108	2.95	2.05	.85	.84	52.3	43.9	1.2
Texas	27.263	14.894	2.34	1.37	.64	.55	83.0	70.8	16.4
New Mexico	2.742	1.809	2.57	1.80	.80	.76	51.6	42.8	5.3
Arizona	7.118	3.974	3.66	2.43	.98	.97	79.1	50.6	1.0
Rocky Mountain:									
Montana	2.465	2.678	3.43	3.82	.96	1.45	—8.0	—20.2	—33.8
Idaho	2.585	1.749	3.42	2.50	1.03	1.03	47.7	36.8	—
Wyoming	2.535	1.367	7.34	4.34	1.90	1.56	85.4	69.1	21.8
Colorado	9.530	4.576	4.04	2.32	1.01	.80	108.2	74.1	26.3
Utah	4.201	2.952	3.73	2.88	1.11	1.18	42.3	29.5	—5.9
Far West:									
Washington	22.711	12.003	6.60	3.89	1.60	1.22	89.2	69.7	31.1
Oregon	8.541	5.753	3.91	2.88	1.01	1.00	48.5	35.8	1.0
Nevada	2.177	2.015	4.13	4.54	.88	1.34	8.0	—9.0	—34.3
California	119.233	76.953	5.83	4.02	1.27	1.18	54.9	45.0	7.6
Alaska	2.025	371	6.23	1.36	1.33	.41	445.8	358.1	224.4
Hawaii	5.059	3.639	6.25	4.92	1.37	1.63	39.0	27.0	—16.0

Source: U.S. Bureau of the Census, "Governmental Finances in 1971–72" and "Census of Governments, 1967," Vol. No. 5: Compendium of Government Finances. State-by-State data on local library expenditure for 1971–1972 from unpublished underlying data in the Governments Division.

libraries. Indeed, for the United States as a whole, the Federal share of library financing differs little from its share of local school financing—7.4 percent and 8.0 percent, respectively, in 1971–72. (See Table 3.)[2] But here the similarity ends. Library expenditure—both direct and in the form of aid to localities—from the states' own revenue sources comprised only 11.7 percent, leaving about 81 percent of the total bill to be financed by local governments. The corresponding figures for elementary and secondary schools were 40.2 percent and 51.8 percent. In this connection, it should be noted that library aid (LSCA) is a general grant while school aid (ESEA) is targeted for a particular clientele.

The predominance of local financing for libraries and the growing state participation in school financing are pointed up in the last two columns of Table 3. When Federal aid is excluded, states only provided 12.6 percent of library funding and therefore seven-eighths of the non-Federally financed public library bill was borne by local governments. Only 46 percent of non-Federal public school expenditure came from local revenue sources. Only six states financed as much as 40 percent of the library costs (Hawaii financed the full bill for libraries and almost all of the school spending).[3] By way of contrast, 21 states absorbed more than half the school costs—a number of them well over half.

At the local level, it is the property tax which dominates public library financing. Public library services are provided mainly by city governments in that about two-thirds of the local cost for libraries ($751 million in 1971–72) was expended by municipalities. Counties account for about 20 percent, and townships and special districts (mainly in Indiana and Ohio), for the remainder. It is apparent, then, that the lion's share of library financing comes from local property taxes—although, by no means all. State and Federal aid provided some $90 million—about 12½ percent—in 1971–72, and, because municipalities provide the bulk of *local* financing, a significant proportion was provided by non-property tax sources as well as by charges and miscellaneous non-tax revenue. Although property taxes produce about 85 percent of all local tax dollars, only two-thirds of municipal tax revenue comes from that source and about half of the municipal own-source general revenue is from property taxation.[4]

Local Fiscal Problems

Public libraries compete for tax dollars with a variety of services that, as has been noted, are primarily the responsibility of municipal and county governments. Put another way, the library function exists in the arena of non-educational public activities, such as police and fire protection, environmental management and control, health and hospital services, housing and urban renewal and social services, which have given rise to the phenomenon known as "municipal overburden." Unlike local schools, public libraries do not generally have the independent status and political insulation of the special district.[5]

Fiscal Plight of Cities

The major cities—those that constitute the core of metropolitan areas—have encountered serious difficulties in financing an increasingly costly body of public service needs. This has been brought about in large part by the demographic and socio-economic shifts that have been occurring since the early fifties. As is pointed out in a recent analysis, by the Advisory Commission on Intergovernmental Relations, of central city-suburban fiscal disparities:

> Central cities, then, are growing more slowly than their suburbs. They are also becoming increasingly nonwhite and exhibit larger proportions of the poor and elderly than do their respective suburbs. This general "sorting out" of these population groups is also accompanied by higher central city crime rates, and a housing market designed to accommodate lower-income populations.[6]

The fiscal implications are clear: the metropolitan centers, relative to their suburbs, are extremely high-tax and high-expenditure jurisdictions. The ACIR findings regarding the 72 largest SMSA's for which it analyzed fiscal 1970 data, can be summarized as follows:

1. Per capita expenditure in the central cities exceeded that of their respective suburbs by $150.[7]
2. Central city per capita non-educational expenditure was twice that in the suburbs.[8]
3. Because household incomes and residential property values were generally lower in the central cities than in their suburbs, central cities had to levy higher tax rates than did their suburbs to raise equivalent amounts of revenue.[9]

These findings, of course, have implications for the public financing of libraries as well as for other aspects of municipal finance. When grouping cities according to population, there is a downward progression in per capita expenditure and revenue as population size declines. (See Table 4.) Thus, for the cities with 1970 populations of 50,000 and over, 1970–71 per capita library expenditure ranged from $5.88 to $3.64. It then dropped precipitously to $1.90 per capita for the 17,664 cities with populations below 50,000. A similar situation held for recreational and police expenditures (albeit at much higher levels than for libraries), as well as for property taxes and other revenue items.

It is apparent, then, that large-city policymakers have had to make hard priority choices in allocating scarce resources among various

TABLE 3*.—PERCENT DISTRIBUTION OF STATE AND LOCAL EXPENDITURE FOR PUBLIC LIBRARIES AND FOR ELEMENTARY AND SECONDARY EDUCATION, BY GOVERNMENTAL SOURCE OF FINANCING, BY STATES AND REGIONS, 1971–72

(Dollar Amounts in Millions)

	Public libraries percent financed by				Elementary and secondary schools percent financed by				State percent of State-Local expend. from own sources (i.e., excludg. Fed. Aid)	
	Amount	Fed	State	Local	Amount	Fed	State	Local	Libraries	Education
United States	**$814.2**	**7.4**	**11.7**	**80.9**	**$48,360.0**	**8.0**	**40.2**	**51.8**	**12.6**	**43.7**
New England:										
Maine	2.5	15.8	10.4	73.8	208.4	2.7	22.4	75.0	12.4	36.9
New Hampshire	3.2	17.4	15.5	67.1	145.9	5.8	6.5	87.7	18.7	6.9
Vermont	1.5	30.5	29.9	39.6	134.8	6.1	33.0	60.9	43.0	35.2
Massachusetts	44.9	9.3	11.6	79.1	1,211.0	5.4	23.2	71.4	12.7	24.5
Rhode Island	3.2	13.9	36.5	49.6	192.2	9.0	25.3	55.7	42.4	38.8
Connecticut	16.0	5.5	12.3	82.1	870.4	2.7	22.4	75.0	13.0	27.5
Mideast:										
New York	108.3	5.4	17.6	77.0	5,664.2	5.8	42.3	51.9	18.6	44.9
New Jersey	35.5	5.0	21.4	73.6	1,950.0	4.6	25.4	70.0	22.5	26.6
Pennsylvania	25.2	10.6	33.1	56.3	2,802.1	6.5	47.0	46.5	58.8	50.3
Delaware	1.5	22.2	4.3	73.5	165.8	7.8	69.6	22.6	5.6	75.5
Maryland	22.0	3.0	14.6	82.3	1,185.7	7.1	43.3	49.7	15.1	46.5
Dist. of Columbia	8.8	4.5	—	95.5	218.5	13.3	—	86.7	—	—
Great Lakes:										
Michigan	30.3	5.3	9.0	84.8	2,393.3	3.8	44.5	51.7	10.5	46.3
Ohio	N.A.	N.A.	N.A.	N.A.	2,195.0	6.2	30.5	63.3	N.A.	32.5
Indiana	16.9	6.0	4.6	89.4	1,233.6	5.4	31.5	63.1	4.9	33.3
Illinois	54.7	5.5	17.6	76.9	2,723.3	6.8	37.8	55.4	18.6	40.5
Wisconsin	19.8	4.3	4	95.3	1,071.5	4.3	30.4	65.4	4	31.7
Plains:										
Minnesota	18.9	4.3	3.9	91.7	1,136.5	4.7	48.4	46.9	4.1	50.8
Iowa	8.2	11.1	3.8	85.1	677.8	3.7	31.3	65.0	4.3	32.5
Missouri	17.7	7.6	5.3	87.1	961.4	8.2	33.7	58.1	5.8	36.7
North Dakota	2.2	27.1	5.8	67.0	132.4	11.9	29.4	58.7	8.0	33.3
South Dakota	4.2	12.2	30.2	57.6	142.3	12.5	15.1	72.3	34.4	17.3
Nebraska	5.0	13.7	4.4	81.9	246.5	6.3	17.8	75.9	5.1	19.0
Kansas	5.8	13.1	7.0	79.9	491.3	8.0	27.4	64.6	8.0	29.7

Southeast:									
Virginia	15.5	6.3	10.1	83.6	1,014.5	11.8	33.8	54.4	10.7	38.3
West Virginia	4.2	17.7	13.9	68.5	320.6	13.0	54.9	32.0	16.8	63.2
Kentucky	5.7	14.8	39.2	45.9	529.0	16.6	53.5	29.8	46.1	64.2
Tennessee	9.6	12.7	19.7	67.6	665.2	14.0	44.4	41.5	22.5	51.7
North Carolina	17.5	8.2	19.7	72.1	1,008.7	15.9	62.6	21.5	21.4	74.4
South Carolina	5.0	18.4	19.4	66.3	509.0	18.0	55.0	27.0	18.8	67.0
Georgia	9.2	13.1	35.2	51.6	753.3	13.7	51.8	34.5	40.6	60.0
Florida	17.0	7.2	7.5	85.3	1,352.7	11.3	52.9	35.9	8.1	59.6
Alabama	5.4	17.3	4.4	78.4	487.4	18.1	62.4	19.5	5.3	76.2
Mississippi	4.5	12.5	3.3	79.2	382.3	27.6	48.2	24.2	9.5	66.6
Louisiana	12.2	7.2	2.6	90.1	766.0	14.1	56.0	29.9	2.8	65.2
Arkansas	7.1	18.1	27.5	54.4	288.3	16.6	46.1	37.4	33.5	55.2
Southwest:										
Oklahoma	7.8	13.4	10.9	75.7	445.2	10.8	44.5	44.7	12.6	52.6
Texas	27.3	9.7	2.1	88.2	2,315.4	11.3	47.0	41.7	2.3	53.0
New Mexico	2.7	15.5	12.9	71.7	242.3	19.6	60.0	20.4	15.2	74.6
Arizona	7.1	9.5	6.7	83.8	466.0	9.4	40.1	50.5	7.5	44.2
Rocky Mountain:										
Montana	2.5	16.4	12.5	71.1	159.9	8.5	23.9	67.7	14.9	26.1
Idaho	2.6	15.3	8.4	76.3	147.8	13.0	39.4	47.6	9.9	45.3
Wyoming	2.5	21.3	21.9	56.8	92.8	10.6	33.8	55.6	27.8	37.8
Colorado	N A	N A	N A	N A	565.7	8.3	27.5	64.2	N A	29.9
Utah	4.2	10.3	8.5	81.2	248.5	9.3	52.1	38.6	9.4	57.5
Far West:										
Washington	22.7	10.0	3.4	86.6	839.6	8.4	49.0	42.6	3.8	53.5
Oregon	8.5	8.7	6.6	84.8	514.7	4.5	19.9	75.6	7.2	20.8
Nevada	2.2	15.4	11.9	72.6	133.5	8.2	39.4	52.4	14.1	42.9
California	119.2	3.8	1.7	94.5	5,600.0	6.8	36.7	56.5	1.8	39.4
Alaska	2.0	18.8	25.8	55.4	138.4	15.5	74.1	10.4	31.8	87.7
Hawaii	5.1	9.3	90.7	—	219.6	8.4	88.7	2.9	100.0	96.9

N A.—(Census data incomplete)

Source Library data computed from U.S. Bureau of the Census, "Governmental Finances in 1971–72" and "State Government Finances in 1972." School data from National Education Association, "Estimates of School Statistics, 1972–73, Research Report 1972–R12.

*See Technical Note at end of this chapter.

TABLE 4.—PER CAPITA AMOUNTS OF SELECTED MUNICIPAL REVENUES AND EXPENDITURES BY POPULATION-SIZE GROUPS, 1970–71

ITEM	All munici-palities	1,000,000 or more	500,000 to 999,999	300,000 to 499,999	200,000 to 299,999	100,000 to 199,999	50,000 to 99,999	Less than 50,000
Number of municipalities, 1967	18,048	6	21	21	17	88	231	17,664
Population, 1970 (in thousands)	132,004	18,771	13,595	7,967	4,233	11,918	16,129	59,387
Expenditures								
Libraries	$ 3.37	$ 5.88	$ 5.51	$ 3.73	$ 3.98	$ 3.53	$ 3.64	$ 1.90
Parks and recreation	10.90	13.48	18.03	20.06	15.56	13.76	12.02	6.01
Police	26.29	55.40	40.75	27.69	26.26	24.33	20.94	15.44
Revenues								
Total general revenue	231.62	544.60	341.81	247.04	246.12	224.40	181.68	119.39
Intergovernmental revenue	73.46	227.50	112.98	69.47	73.23	62.60	42.06	26.99
Property tax	76.07	148.73	102.98	73.26	84.31	91.98	77.86	43.04
Sales and gross receipts tax	12.56	34.86	18.09	12.24	14.14	8.54	10.11	5.66

Source: Bureau of Census, "City Government Finances, 1970–71," Table 4.

demands they have had to satisfy. The library service has apparently suffered when set against rising crime rates and the need to minister to an increasingly disadvantaged population.

Property Tax Base and Inter-Area Disparities

Local financing of libraries depends on the property tax base even *more* than does school financing. As was noted earlier, 87 percent of non-Federal library financing is from local revenue sources, while local governments finance only 46 percent of the non-Federal school bill.

It follows, then, that library financing is subject more dramatically to the same inter-area disparity situation pointed up regarding school finance in numerous court cases. Briefly—as typified by the California case of *Serrano v. Priest*—the state courts have held that, because of the uneven distribution of the property tax base among taxing districts (specifically school districts), heavy use of property taxation to finance schools violated the state constitutional mandate that all children in the state are entitled to equal educational opportunities. In other words, the quality of a child's education should not depend on the wealth of his parents and neighbors.[10]

Ample evidence has been amassed concerning the maldistribution of the property tax base within states, both in connection with the school finance cases and by the President's Commission on School Finance. As Table 5 shows, the Commission on School Finance found some tremendous inter-district variations in the taxable wealth (assessed valuation) behind each pupil. Similar relationships would apply to per capita assessed valuations relative to *total* population. These variations in property tax capacity are equally strong factors in producing comparable inequites in the present system of library financing. The same situation would apply to the financing of all public services that depend heavily on the local property tax base for their support.

Non-Property Tax Revenue and Special Library Financing Systems

Local governments derive a considerable portion of their revenue from sources other than the property tax. In 1970–71, all localities obtained over one-fifth of their own-source general revenue (i.e., excluding state and Federal aid) from service charges, interest earnings and other non-tax revenues. Municipal non-tax revenue was even greater, comprising over one-fourth of own-source general revenue.[11]

Overall figures on non-tax revenue are not available for libraries. The Office of Education, however, provides data for library systems serving areas with at least 25,000 inhabitants. According to these data, for 1968, 1,057 libraries reported charges and miscellaneous revenue of

TABLE 5.—SCHOOL DISTRICT PER-PUPIL PROPERTY VALUATION DISPARITIES, BY STATE

1968/69 assessed valuation	Ratio of max/min	Ratio of max/min within 5th–95th percentile	Ratio of max/min within 10th–90th percentile
*Alabama	4.5/1	3.3/1	2.7/1
Alaska	3.9/1	3.9/1	3.9/1
*Arizona	22.2/1	8.1/1	5.3/1
Arkansas	10.7/1	2.3/1	2.1/1
California	24.6/1	5.9/1	3.5/1
*Colorado	11.4/1	4.9/1	2.8/1
*Connecticut	5.7/1	2.9/1	2.3/1
Delaware	5.5/1	2.9/1	2.1/1
Florida	9.3/1	4.2/1	3.3/1
Georgia	4.7/1	2.4/1	1.8/1
*Hawaii	(Property tax revenues not used to support education)		
*Idaho	3.0/1	2.0/1	1.8/1
*Illinois	20.1/1	2.4/1	2.1/1
Indiana	17.4/1	2.7/1	2.1/1
Iowa	5.2/1	2.2/1	1.9/1
Kansas	182.8/1	4.8/1	2.6/1
Kentucky	8.6/1	4.4/1	3.1/1
*Louisiana	13.5/1	3.5/1	2.4/1
Maine	11.2/1	4.2/1	2.4/1
Maryland	2.8/1	2.2/1	1.9/1
Massachusetts	10.4/1	2.7/1	2.2/1
Michigan	30.0/1	3.4/1	2.8/1
Minnesota	5.2/1	2.9/1	2.4/1
Mississippi	5.2/1	2.5/1	2.1/1
*Missouri	29.6/1	4.4/1	2.9/1
Montana	3.1/1	2.6/1	2.0/1
Nebraska	19.0/1	3.8/1	3.3/1
*Nevada	4.0/1	4.0/1	4.0/1
New Hampshire	4.5/1	2.0/1	1.6/1
New Jersey	10.5/1	4.0/1	2.9/1
New Mexico	21.4/1	9.6/1	5.9/1
New York	84.2/1	4.7/1	3.7/1
North Carolina	3.2/1	2.4/1	2.1/1
*North Dakota	1.7/1	1.6/1	1.6/1
Ohio	10.7/1	3.8/1	2.6/1
Oklahoma	22.4/1	4.4/1	2.7/1
Oregon	5.3/1	2.8/1	2.0/1
Pennsylvania	10.5/1	3.8/1	2.6/1
Rhode Island	2.2/1	1.7/1	1.6/1
South Carolina	8.8/1	3.5/1	2.6/1
South Dakota	9.7/1	8.3/1	1.7/1
Tennessee	9.5/1	6.2/1	3.7/1
*Texas	45.1/1	7.4/1	4.6/1
Utah	8.6/1	3.1/1	2.9/1
Vermont	3.3/1	2.3/1	1.8/1
Virginia	6.8/1	2.9/1	2.3/1
Washington	12.5/1	3.6/1	2.2/1
West Virginia	3.6/1	3.0/1	2.3/1
Wisconsin	77.9/1	2.2/1	2.0/1
*Wyoming	6.1/1	4.2/1	2.9/1

*Locally assessed valuation is used for these states. Otherwise, equalized assessed valuation is used.

Source: President's Commission on School Finance, "Existing *State School Finance Programs*," Vol. II, p. 14, Washington, 1972.

$36.1 million, or less than 10 percent of those systems' operating receipts excluding amounts received from state and Federal governments.[12]

The State of Ohio uses a unique method to finance public libraries. That portion of the state special property tax on intangibles which is collected by county treasurers (known as the tax on local situs intangibles—mainly stocks and bonds) is retained in the county where it is collected and is earmarked in large part for library systems within the county.

According to a recent study, this financing technique has resulted in the development of "some of the finest local library systems in the nation." [13] Because the intangibles tax revenue accrues mainly to the large urban areas which have the lion's share of intangible wealth, however, the high quality libraries are concentrated in a small number of large cities. According to the Stocker study, there were (in 1970) still many areas in Ohio with little or no library service.

Intangibles taxes collected in a county are allocated among the local governments by a County Budget Commission, which by law must allow the first claim on the revenue to library boards. In 1969, 81.5 percent ($43 million) of the local intangibles taxes collected was distributed to libraries.[14] The inherent inequity of a situation where a state tax is returned to the place where the collections originated is quite apparent when looking at per capita county collections of the Ohio local situs intangibles tax. The ratio between the highest per capita collections and the lowest was 16 to 1.[15] This is a classic case of "the rich getting richer."

Professor Stocker points up an interesting political effect of Ohio's system of financing library services.

> . . . the preferred position of libraries in access to revenue from the intangibles has shielded them from the necessity of keeping the taxpaying public constantly aware of the community benefits that flow from the public library, and of the necessity for tax support to provide these benefits. Unlike other governmental functions, where support must be sought from the reluctant taxpayer in constant competition with all other public sector claims, libraries had led a comparatively sheltered existence. Not having had to scramble for money, many libraries in Ohio may have neglected to carry their case to the general public. Ohio has not developed a tradition or custom of voting tax support for libraries. Indeed very few Ohioans have any idea how libraries are supported. These facts take on an ominous tone if one considers the possibility of changes in financing that would place libraries in direct competition with other governmental services for the taxpayer's dollar.[16]

Impact of General Revenue Sharing on Local Library Support

The Office of Revenue Sharing in the U.S. Treasury has already (by December 1973) distributed almost $10 billion to state and local governments. About two-thirds of this goes to cities, counties and townships and the remainder, to states. Revenue sharing funds are distributed to the states and to some 38,000 local units of general government on the basis of formulas that take into account population, income and tax effort. Because neither school districts nor special districts are eligible for the funds allocated to local governments, some library systems—particularly in Indiana and Ohio—do not receive revenue sharing funds directly. It is possible, however, for municipalities and counties to share some of their own revenue sharing funds with such systems.

It is still too soon to assess the impact of revenue sharing on local government finances. Yet, considering that the $4 billion a year that will go to local governments is almost 10 percent of their non-educational own-source revenue, unquestionably revenue sharing funds will help them cope with their fiscal problems.

Early indications are that very little of the revenue sharing funds distributed thus far are going into library services. The Treasury Department's first "planned use" report* notes that only 0.7 percent of some $3 billion distributed to states and localities for the third entitlement period would go for library services.[17] Next to economic development, this is the smallest amount expected to be used for any function. The lion's share of the funds was intended to be devoted to public safety and education (the latter almost entirely by state governments). Counties indicated that they planned to spend about $11 million of their revenue sharing money for libraries (about 4 percent of the amount expected to be spent for operation and maintenance, and only about 1.5 percent of their total spending, including capital outlay). The cities' intentions were even more parsimonious, so far as libraries were concerned; they intended to spend only $8.6 million for that purpose—only 1.5 percent of their intended operating expenditures from revenue sharing funds and less than 1 percent of their total, including capital outlay.

Thus, although the provision of library services is among the eight revenue sharing priority functions, local policymakers have thus far placed the libraries low on the revenue sharing totem pole. This, of course, is consistent with the position library services appear to hold generally in the local government order of spending priorities.

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*A later "actual use" report issued in March 1974 and covering the first three entitlement payments, indicates that local governments spent $18 million for libraries. This total represents only *one* percent of the $1.8 billion of revenue sharing funds actually expended by local governments during the first half of 1973.

Issues in the State Financing of Public Libraries

In recent years the state governments have been moving toward a more progressive tax structure and one that is more sensitive to economic growth. The need to cope with the economic depression of the 1930's resulted in a rash of state general sales tax enactments—half of the states levied such taxes between 1932 and 1937. A few states, like Wisconsin, Massachusetts and New York already had strong personal income taxes, but although there were a considerable number of such state taxes by the beginning of World War II—including a dozen that were enacted during the thirties—most were of the anemic variety.

Immediately following World War II, accelerating fiscal pressures caused more states to seek new tax revenue, but, again, most of the major tax action occurred in the sales tax field. In its 1965 study of personal income taxes, the Advisory Commission on Intergovernmental Relations urged the states to move more aggressively into the taxation of personal income in order to improve their tax structures.[18] The Commission found, however, that heavy use of personal income taxation by the Federal government was "the single most important deterrent to its expanded use by the States."[19] It recommended, therefore, that the Federal government take steps to encourage more extensive state use of personal income taxes—primarily by allowing taxpayers a credit against their Federal tax liability for part of their state personal income taxes.

Although the ACIR Federal tax credit proposal has not been implemented, continued pressure on state finances since the early 1960's has caused a considerable number of states to consider and to adopt personal income taxes—almost all having already adopted retail sales taxes. There are now 46 states with general sales taxes, 40 with personal income taxes, and 36 with both. Increasingly, state policymakers are recognizing the potential of using a dual state sales-income structure as a means of relieving the regressiveness of the total state-local tax structure. This they are accomplishing through credits against their income taxes for excessive sales and property tax burdens, particularly on low-income families. In the process, the states are making their tax systems more productive as well by tying them more closely to general economic growth. The states are gradually moving toward a high-quality state-local tax system.[20]

Shift of Financing From Local to State Level

Recent aggressive state actions have reflected persistent pressures on the states to take on more of the responsibility to finance the non-

Federal share of domestic public services. And, as Table 6 indicates, there has indeed, been a perceptible shift of financing responsibility from the local to the state level. In the past 30 years, the state proportion of total state-local general expenditure from own sources has grown from 44.3 percent to 52.7 percent. Local schools, by far the major function in terms of state-local expenditure, were largely responsible for the overall shift; the state share grew from 34.9 to 43.3 percent between 1942 and 1971, largely as a result of steadily growing state education aid.[21] The highway and public welfare functions displayed similar patterns, both as a result of growing state aid, and in some instances, the shift of operating responsibility from the local to the state level.

Comparable historical data are not available for the library function. It is clear, however, that, by and large, the states are providing only a small proportion of resources for library support compared to the levels provided for schools, highways, welfare and health services, as shown in the data presented in Table 6. As noted earlier, the overall state percentage for library services was only 12.6 percent in 1971–72. Still, this modest level is considerably higher than it was in the early days of the Federal aid program for libraries. A rough calculation indicates that the states were supplying only about 8 percent of the non-Federal library revenue in 1962. By 1967, the percentage had risen to about 11 percent.

Strong State Fiscal Position

The fact that state tax structures have been quite responsive to general economic conditions was illustrated dramatically early in 1972 when the effects of increased and new taxes enacted in 1970 and 1971 began to push state tax revenues to such high levels that many governors were predicting substantial general fund surpluses for the fiscal year ending June 30, 1973.[22] The state fiscal position was, of course, also enhanced by the infusion of a substantial dose of revenue sharing funds in late 1972 and early 1973.

A word of caution is in order at this point. For one thing, state

TABLE 6.—PERCENTAGE OF STATE AND LOCAL GENERAL EXPENDITURE FROM OWN REVENUE SOURCES FINANCED BY STATE GOVERNMENTS, SELECTED YEARS 1942–1971

Item	1971	1966	1957	1942
Total general expenditure	52.7%	47.8%	46.8%	44.3%
Local schools	43.3	40.4	37.8	34.9
Highways	74.5	70.9	71.2	67.7
Public welfare	76.1	75.7	71.8	61.4
Health and hospitals	51.5	51.0	51.3	50.0

Source: ACIR, "*Fiscal Balance in the American Federal System*" (Washington: October, 1967), Report A-31, Vol. I, Tables A-7, A-9, A-11, A-13 and A-15, and "State-Local Finances: Significant Features and Suggested Legislation" (1974 Edition—in Press).

surpluses are ephemeral—it does not take long for them to evaporate. Even as the governors were reporting state surpluses for the close of fiscal 1973, they were also presenting plans for using them up in fiscal 1974. Income tax and sales tax rates would be held steady, if not reduced. Property tax relief plans galore were being proposed, and the usual spate of proposals to increase expenditures were being put forth. Furthermore, the surplus expectations were propounded before the present dismal economic outlook (the energy crunch) loomed on the horizon. Thus, it is the very sensitivity of state tax structures to the economy that could produce decreased revenues—to the dismay of state budgeteers. Should unemployment again push to 6 percent and more next year (some economists see it moving to 8 and 10 percent) the income tax base will deteriorate rapidly and state tax collections will decrease significantly.

State Fiscal Capacity and Effort

To gauge the ability of the states to finance educational costs, the Advisory Commission on Intergovernmental Relations has devised an index of "total tax capacity," based on state personal income estimates modified by a relative tax capacity factor for each state.[23] On the grounds that state policymakers compare their own tax efforts with those of (a) their neighbors, and (b) all states in the nation, the Commission developed three tests of potential tax capacity:

1. *Most stringent capacity test*—the amount of potential revenue a state could raise if it made the same tax effort as New York—the highest tax effort state in the Nation;
2. *Least stringent capacity test*—the amount of potential revenue a state could raise if it made the same effort as the highest tax effort state in its region; and
3. *Intermediate capacity test*—the amount of potential revenue a state could raise if it made a tax effort midway between the highest tax effort state in the Nation (New York) and the highest tax effort state in its region.

Relating each state's actual tax collections for 1970–71 to its potential capacity provides a measure of its "untapped capacity." The Commission found that, under the intermediate capacity test, for example, on average the states had untapped capacity of a little over a quarter of their actual tax collections—more than $25 billion. The untapped capacity ranged from zero for New York (by definition) to less than 5 percent for such high-effort states like Vermont and Wisconsin to over 75 percent for Oklahoma.[24] By this measure, ACIR found that "there are 36 states in a relatively strong fiscal position—with untapped relative tax potential in excess of 20 percent of actual collections."[25]

In this context, the Commission addressed itself to the ability of states to respond to court mandates (such as *Serrano*) to equalize interdistrict disparities in per-pupil expenditure. It estimated, for example, that it would cost the states $4⅓ billion to raise per-pupil spending in all lower-spending districts to the 80th percentile. It found that only about one-third of the states would have some difficulty accomplishing this goal. These 16 states would have to use more than 20 percent of their untapped capacity (according to the intermediate capacity test) plus their general revenue sharing allotment.[26] Accordingly, the Commission concluded that "Federal intervention is not a prerequisite to State solution of the intrastate school disparities issue" and "that reduction of fiscal disparities among school districts within a State is a State responsibility."[27]

Impact of General Revenue Sharing on State Financing

As in the case of local governments, it is still too soon to assess the effect of revenue sharing on state financing. There are some harbingers of things to come. For one thing, many of the high property tax states are turning to their general revenue sharing funds as a means of relieving the property tax burden. Michigan, for example, has already taken steps to apply both its 1973 surplus and a large part of its revenue sharing allocation to a master property tax "circuit-breaker." Its massive program, aimed mainly at relieving the property tax burden of lower-income families, is estimated to cost about $250 million a year. Other states are increasing school aid, and at the same time placing lids on local property taxes for schools—another means of providing property tax relief. On the other hand, a recent attempt in California to reduce taxes and government spending (by applying some $850 million in surplus and revenue sharing funds to this purpose) was turned down by the electorate.

Federal Financing of Public Libraries

Federal government involvement in public library financing started in 1956 when the Congress enacted a small program to aid rural areas lacking adequate library services. Federal aid under this program was only about $8 million a year during the early 1960's.

The Act was amended in 1964 to broaden its scope by encompassing non-rural areas and also to provide library construction aid. Funds were allocated among the states under the 1964 amendments in proportion to total population (previously only rural population was taken into account). Spending authorizations were increased to $25 million annually for library services, and were established at $20 million annually for construction.

The program was further expanded in 1966 to include interlibrary cooperation, and services to the institutionalized and the handicapped, and spending authorizations were increased considerably. Further expansion of the program was promised by Congressional action in 1970, which raised authorizations for library services by annual steps from $112 million for fiscal 1972 to $137 million for fiscal 1976, and for library construction, from $80 million for fiscal 1972 to $97 million for fiscal 1976. Authorizations for interlibrary cooperation were also raised.

Even in 1967 there was a gap between Congressional promise and performance. Thus, for that year, appropriations for library services were 75 percent of authorizations; and the situation has been deteriorating steadily.[28] By fiscal 1973 the flow of Federal library aid had slowed to a dribble and the prospects for fiscal 1974 and subsequent years are dim indeed!

Although the effectiveness of the formula for allocating Federal library aid on the basis of population in meeting differing needs for library services can be questioned, none doubt that the program has at least stimulated state participation in the program. The aid is channeled through the states to the localities in accordance with required state plans. Some of it has been used to establish state library services where they did not exist previously and to improve such services where they were already in place before the 1956 enactment.

Along with numerous other categorical grants, library services and construction appear to have become victims of the "New Federalism" philosophy of the present Administration. Despite repeated denials before Congressional committees by representatives of the Executive Branch that general revenue sharing was not intended as a replacement for categorical grants, recent impoundments of appropriated funds and proposed cuts in the 1974 Budget are being defended in part on the grounds that revenue sharing funds *can* be used to supplant the reduced categorical aids. Grant consolidation efforts—in the name of *special* revenue sharing—will undoubtedly provide a rationale for further decimating categorical grant programs. Whether a true intergovernmental policy will be developed—one that considers the different functions of general revenue sharing, grant consolidation and categorical grants—remains to be seen. In the very first recommendation of its "fiscal balance" report, the Advisory Commission on Intergovernmental Relations called for such a policy (a "new Federal aid mix"):

> The Commission concludes that to meet the needs of twentieth century America with its critical urban problems, the existing inter-

governmental fiscal system needs to be significantly improved. Specifically, the Commission recommends that the Federal Government, recognizing the need for flexibility in the type of support it provides, authorize a combination of Federal categorical grants-in-aid, general functional bloc grants and per capita general support payments. Each of these mechanisms is designed to, and should be used to meet specific needs: the categorical grant-in-aid to stimulate and support programs in specific areas of national interest and promote experimentation and demonstration in such areas; bloc grants, through the consolidation of existing specific grants-in-aid, to give States and localities greater flexibility in meeting needs in broad functional areas; and general support payments on a per capita basis, adjusted for variations in tax effort, to allow States and localities to devise their own programs and set their own priorities to help solve their unique and most crucial problems. . .[29]

Sorting Out the Federal, State and Local Roles in Financing Library Services

What should be the respective roles of the three governmental levels in financing public libraries? A corollary question might be posed: If it is generally agreed that the present expenditure for public library services is too low—that it should be raised to, say, $2 billion—which level of government should pick up most of the tab?

There is no consensus regarding the "right" allocation of the cost of financing a particular function among governments. While it is generally recognized that some functions have more spillover effects than others, there has yet to be devised an accurate measure of such effects. Does 10 percent, 50 percent, or 90 percent of the benefits from educational expenditures accrue to the "National public," the "state public," or the "local public?" How much of the police function is local? How much state? How much Federal? Are fire services and trash collection services strictly local? Are the spillover effects of library services about the same as they are for education?

Some of these questions are dealt with in the section of this report which analyzes the impact and relevance of the public goods benefit theory.

In the final analysis, however, the extent to which Federal or state—or even local—policymakers agree to participate in financing particular functions boils down to the interplay of political judgments. It was not until "law and order" became an intense political issue at the National level that the Federal government began to provide substantial aid for local police protection. When the Nation was plagued by a severe depression it became obvious to the Federal policy-makers that states and localities needed help in dealing with unemployment and the resultant social problems. The apparent need for an extensive highway network for national defense purposes and for meeting the requirements of a highly mobile society impelled the Congress to enact a gigantic highway program in the 1950's.

Interestingly, the need for library services was first perceived by the Federal policymakers as a rural problem. The solution, from that vantage point, did not require a *massive* infusion of Federal funds—merely a small amount of seed money to encourage the states to do something about the lack of library services in their rural areas. As the program progressed and the library problem was brought up before Congressional committees periodically, some committee members developed interest and expertise, and, as states built up their own library staffs in response to the Federal program, the inevitable Federal-state "vertical functional bureaucracy" operated to expand the program. As the history of substantive legislation in regard to library services shows, each successive amendatory enactment has extended and expanded the program to encompass additional services and to broaden its scope. Legislative spending authority, thus, has increased tremendously over the years. But, as with many other categorical aid programs, particularly those supporting social programs, executive and legislative budget makers have seen fit to stem the spending tide.

It is conceivable that the substantive (program) committees of Congress will eventually prevail, and that Federal library aid will start to flow again. However, it is not likely that such aid will grow very much beyond recent LSCA levels of 7–8 percent unless there is a new realization of the importance of public libraries and the vital nature of the Federal role in their support. Should general revenue sharing prove successful and be expanded after 1976, that is, if states and localities convince the public (and consequently the Congress) that they can, indeed, manage and support adequately their own programs and services—categorical aids may well be curtailed. This could, then, lead to the development of the "new Federal aid mix" proposed by the Advisory Commission on Intergovernmental Relations. Thus, the library function in the U.S. Office of Education could range from mere technical-assistance, statistics-gathering and related duties to a broad fiscal support program with administrative responsibilities. Among the possible programs representing candidates for expansion might well be Title III of LSCA—interlibrary cooperation—to help the financially ailing urban centers make available to the general public the specialized library resources they have amassed over the years.

The Case For Increased State Financing

Any significant increase in library funding must come from the states. Thanks to the Federal library services and construction program, the states, without exception, now have the organizational structure—and in many instances the leadership—to guide the development of library services. Moreover, as has been demonstrated, the great majority of them have developed, or are in the process of developing, highly productive revenue systems.

Just as there is geographic *interstate* diversity in the ability to finance public services, there are inter-regional diversities within states. As has been noted, this is as applicable to library services as it is to the financing of schools. These intrastate service inequalities can be handled much more readily when the funding is done on an areawide rather than on a local basis. When the state picks up a substantial portion—say 50 percent—of the funding, it has an opportunity to equalize the resources among local library systems. This it can do by taking over some functions directly and offering equalizing grants for others. Thus, a state might use its own borrowing and taxing power to build libraries—the state itself would hire the architectural services and let the building contracts. Library buildings would be placed regionally in accordance with a statewide plan. At the same time the state would be in the position of offering library services wherever they are needed. The services would be provided locally, but state grants would take into account both needs and local fiscal ability.

Several states now provide library aid on an equalization basis—among them are Illinois, California and Maryland. The amounts involved, however, are generally too small to have much of an effect on the level of library services. Other states, like New York and Pennsylvania, use their aid funds to encourage regionalization of local library services.

The Case For Local Areawide Financing

In all likelihood local government will continue for the foreseeable future to play a major role in the financing of library services. At the very least, the financing base should be broadened to encompass entire counties, rather than be left to the exigencies of a fractionated base inherent in municipal, school district and special district library systems. The disparities that exist, as among central cities, wealthy suburban enclaves and poor rural areas, can be smoothed out considerably by marshaling the taxable resources of a broad economic area to finance a diversified library system.

Where necessary, library financing should extend beyond county borders to encompass two or more counties. For example, a two or three county metropolitan area could become the financing base for a metropolitan library system. A uniform property tax levy extended over an entire metropolitan area would draw the largest sums from the high value areas and, in the manner of power equalization, the proceeds would be redistributed in accordance with actual library needs.

Summary Findings and Conclusions

The preceding analysis of fiscal factors in the financing of public libraries supports the following general conclusions.

1. State and local expenditure for public libraries is extremely small relative to spending for other domestic services and has been growing more slowly than the state-local sector generally.
2. Until its recent curtailment the Federal Library Services and Construction Act (LSCA) has been financing about 7 percent of state-local library expenditure for public libraries.
3. Notwithstanding a new Federal initiative under the so-called Library Partnership Act there may be little likelihood that substantial Federal library aid will be forthcoming in the foreseeable future. Pressure should be maintained, however, to ensure that the Federal government retains responsibility for a fiscal role designed to further stimulate the states to increase their support for expanded local public library services.

   At the minimum, the Federal government should provide funds for research and demonstration grants for innovative projects, the expansion of the interlibrary cooperation program, and the expansion of data gathering and research functions.
4. LSCA has been instrumental in encouraging some growth in state government participation in library financing, but the level of fiscal response in most states is inadequate.
5. Library financing, then, falls almost entirely on the local level and therefore is subject to the exigencies of increasing local fiscal problems and financing disparities.
6. State governments have been moving toward a more productive and economy-sensitive revenue structure.
7. With few exceptions, states have the fiscal capacity to pick up any slack resulting from curtailment of Federal library aid and, indeed, to increase their participation in library financing.
8. A substantial shift in library financing from the local to the state level (at least 50 percent of the non-Federal cost) would raise the general level of library expenditure and at the same time help eliminate interlocal disparities in the provision of library services.
9. At the local level there is a need to strengthen the organizational structure for the financing and delivery of library services. Steps should be taken to develop means for areawide financing. Orga-

nizationally, the library function should be brought into the mainstream of the local political structure.

FOOTNOTES

1. The District of Columbia, with a 1971-72 per capita expenditure of $11.81, is excluded from this analysis.
2. See the "technical note," following the footnotes, for an explanation of the procedure for constructing the "governmental source of financing data" used here.
3. It should be noted that the state share of library financing may be understated to the extent that state aid for general local support (a form of state general revenue sharing) is applied to library services. Thus, although Table 3 indicates that the State of Wisconsin provides only 0.4 percent of library financing, about 40 percent of its state aid expenditure is for general local support. Wisconsin, however, is an extreme case in this regard. For all states in total, only 10 percent of the state aid expenditure is for general local support, and some states provide little or no such aid to their localities.
4. Advisory Commission on Intergovernmental Relations, *Financing Schools and Property Tax Relief—A State Responsibility* (Washington: January 1973), A-40, p. 16.
5. Indiana is the only state where library services are provided virtually across the board by independent special districts. In Ohio, a substantial portion of library services is provided by independent school districts, as well as by special districts and, in a few instances, by municipal governments. It should be noted, however, that many library systems, while nominally dependent agencies of municipal and county governments, do exist under the quasi-independent umbrella of library boards which often take on the political insulation characteristics of special districts.
6. ACIR, *City Financial Emergencies—The Intergovernmental Dimension* (Washington: July 1973), A-42, p. 120.
7. *Ibid.*, Table B-22.
8. *Ibid.*, Table B-23.
9. *Ibid.*, Tables B-8 and B-10.
10. For an analysis of the various school financing cases, see ACIR, *Financing Schools and Property Tax Relief—A State Responsibility* (Washington: January 1973), A-40 Chapter IX.
11. U.S. Bureau of the Census, *Governmental Finances in 1970-71*, Table 4 and *City Government Finances* in 1970-71, Table 1.
12. U.S. Department of Health, Education and Welfare, Office of Education, National Center for Educational Statistics, *Statistics of Public Libraries Serving Areas With at Least 25,000 Inhabitants, 1968* (Washington: U.S. Government Printing Office, May 1970), Table 1.
13. Frederick D. Stocker, *Financing Public Libraries in Ohio* (Columbus: Ohio Library Foundation March 1971), p. 1.
14. *Ibid.*, p. 13. The Census data on Library expenditure for Ohio ($22.7 million for 1971-72) are drastically understated. Apparently a major portion of this understatement stems from the fact that many library boards in that state operate as part of school districts and the library finances for such boards are reported in census statistics together with school district finances. The missing portion would then be reported by the Bureau of the Census as "local schools" rather than as "libraries." This situation is apparently unique to Ohio as similar gross understatements were not found in the other states.
15. *Ibid.*, p. 23.
16. *Ibid.*, p. 3.
17. Department of the Treasury, Office of Revenue Sharing, *General Revenue Sharing—The First Planned Use Reports* (Washington: September 24, 1973), p. 7.
18. ACIR, *Federal-State Coordination of Personal Income Taxes* (Washington: October 1965), Report A-27, p. 13.
19. *Ibid.*, p. 111.

20. For a discussion of the elements necessary to achieving a high-quality tax system see, ACIR, *Fiscal Balance in the American Federal System* (Washington: October 1967), A-31, Vol. 1, p. 132 ff.
21. As shown in Table 3, the state portion rose to 43.7 percent in 1971-72, and preliminary NEA estimates indicate a further rise to 44.5 percent in 1972-73.
22. *National Journal*, June 30, 1973, p. 936.
23. ACIR, *Financing Schools and Property Tax Relief—A State Responsibility* (Washington: January 1973), Report A-40, p. 109.
24. *Ibid.*, Table 36.
25. *Ibid.*, p. 114.
26. *Ibid.*, Table 41.
27. *Ibid.*, p. 9.
28. ACIR, *The Gap Between Federal Aid Authorizations and Appropriations* (Washington: June 1970), Report M-52, pp. 23 and 24.
29. ACIR, *Fiscal Balance in the American Federal System* (Washington: October 1967), Report A-31, Vol. 1, p. 5.

TECHNICAL NOTE ON TABLE 3 DATA COMPILATION

The information on governmental source of library financing presented in Table 3 was constructed from Census data as follows:

1. It is assumed that most Federal aid for libraries is paid to the states. Figures for 1971-72 on state intergovernmental revenue from the Federal government for libraries are not published in *State Government Finances 1972*, but are readily available in Census worksheets. These were supplied by the Governments Division and were used as the Federal component for each state.
2. The Census report, *State Government Finances in 1972*, provides data on state expenditure for libraries, with separate figures for direct state expenditures (state library, supervision of local library services, and the like) and for state payments to local governments (including Federal aid funds channeled through the states). Deducting the Federal intergovernmental revenue figures from the total state library expenditure figures yields state own-source expenditure for libraries.
3. The Census report, *Governmental Finances in 1971-1972* (soon to be published), does not present separate state-by-state figures on local expenditure for libraries (although national totals are presented). The state-by-state figures are, however, developed separately and were drawn from a computer run available in the Governments Division. From these figures were deducted the state and Federal aid amounts (see paragraph 2, above) to arrive at library expenditure from local sources.

CHAPTER 4

Alternative Systems for Funding the Public Library

Summary of Findings

The central conclusion of this analysis of funding patterns and general assessment of financing requirements for adequately supporting the public library is that the present system is basically deficient. In almost two decades of operation since the direct involvement of the Federal government, the present system has not produced an effective development and distribution of public library services. The distribution of costs among the levels and jurisdictions of government is grossly inequitable and is a prime deterrent to the progressive development of a public library system responsive to the informational-educational-cultural needs of a modern society.

General Conclusions

Historically, the public library represented a private response to the clearly felt need to provide a central repository of information and knowledge vital to the self-development and economic and cultural understanding of all citizens and, through them, the advancement of the community.

The public library today represents an under-developed national resource affecting and affected by the educational, cultural and overall quality of life in the United States. This resource, which is unique to this democratic society, provides informational, educational, and cultural services in patterns which vary according to estimates of need, sometimes imperfectly perceived by the library institution itself. More importantly, services vary widely according to the fiscal ability of the more than 10,000 state, county and local jurisdictions to provide library services equitably to all the nation's citizens.

Uniquely, and for a variety of reasons, the public library has not emerged or developed in a political or bureaucratic form typical of other social institutions. It exists today largely in its pristine state as an almost randomly distributed pattern of semi-autonomous local service agencies and systems, loosely coordinated with other libraries and almost quasi-governmental in nature. As a social institution, it is related by tradition and function to the public education system. Yet, it cannot be considered an integral part of public education, nor can it be described as a functional service in the mainstream of government. This set of characteristics represents a heavy liability for public libraries in terms of attaining stable, adequate financial support for a full set of services available to all citizens. The institution's deep roots in the community and its strong civic support represent the public library's principal asset, at least potentially, in striving to develop a viable pattern of services responsive to the full variety of community and individual needs.

Today, in our highly complex, industrialized and fragmented society, the need for decentralized repositories of information, knowledge and cultural services still exists and perhaps is even accentuated. There are still wide socio-economic and cultural gaps and quite alienated groups in our social structure producing needs which have long been the focus of public library services. In an era of affluence, there is still the need to provide an even wider variety of channels of upward social and economic mobility responsive to community and individual needs and selection. There is increasing evidence that our formalized, bureaucratic structures for social, educational and economic advancement have not served adequately or equally well the varied needs of all citizens. Indeed, decentralized, unorganized (if you will) social and educational resources such as public libraries increasingly are being seen as providing valid adjuncts and alternatives to governmentally sponsored, formally structured educational programs.

This is not to say that we should replicate or simply expand the traditional patterns of public library services. Proximity of service to each community and individual remains important, but there are essential changes to be achieved through expanded inter-connecting linkages and networks of library services. These advances are needed to increase service efficiency and to more nearly satisfy cost-benefit requirements of the public sector. Modern technology provides vast new means to establish such network linkages and provide the means by which information and knowledge from the accumulated record can be translated for individual utilization. It is unlikely, however, that modern technology can ever replace the printed page or the highly personalized interactive process of consulting the written record. Nonetheless, the style and pace of modern life in an information demanding society requires more than the passive, unobtrusive pattern of public library services that exists today in many communities. Changes such as these, and more, should be incorporated in modern public library services. But, the essential features and function of providing specialized research, information, and educational-cultural services remain at least as much needed as ever before in the history of the public library.

Federal Level

It is obvious that the amount and extent of Federal funding has been small and has far from realized the expectations of the LSCA designers. The impact of revenue sharing, in addition to the elimination of Federal categorical aid, could have other severe effects on the future development of public library services because it (1) provides the states with an opportunity to reduce or eliminate their matching fund contribution, and (2) leaves local public libraries with the need to face local political and fiscal decision-makers with increased budget requests due to Federal and state cut-backs. The problem will be especially severe in urban areas because of the classic mismatch of needs and resources in such areas, and with respect to regional library networks which operate on a state-provided fiscal base. Reports on the proposed and actual use of revenue sharing funds do not provide much hope that public libraries are receiving, or will likely receive, priority consideration in applying for these funds.

Beyond the political dimension of the current revenue sharing versus categorical grant battle, there is broad justification for continuation of substantial Federal funding. Public libraries represent an activity and service, the benefits of which, in the terminology of modern public goods theory, extend beyond the individual and his local community. Moreover, for the reasons cited earlier, funding in support of public library services is a relatively late entry into the Federal and state financing scene. Substantial and direct Federal financing is particularly appropriate to provide national services and linkages, to meet interstate disparities, and to assist in the upgrading of this service to a desired level. The continuing importance of public libraries as an information resource and a civilizing force in an imperfect modern society is ample evidence of need for continued Federal involvement and support.

A word should be said about the Library Services and Construction Act. Perhaps it was the best measure that could be developed a decade ago. Nonetheless, as a fiscal subsidy method, the LSCA provisions represent a rather crude mechanism utilizing factors more appropriate in a tax redistribution scheme than a goal oriented aid system. The total cost of the "floor" ($200,000—Title I, $100,000—Title II, and $40,000—Title III), representing the minimum grant to each state, could equal $17 million, or nearly 30 percent of the 1972 total appropriation of $58.6

million. That seems to be an expensive underwriting of the status-quo in a functional area where directed expansion and development are needed. It is difficult to achieve planned objectives under this kind of arrangement.

The LSCA makes heavy use of the plan device in the administration and utilization of Federal funds. This is a valid technique, but it requires intensive staff evaluation, including revision, of submitted plans, and the kind of administrative-political clout required to reduce or cut off funds if the state plan or its implementation do not meet standards.

In the present turbulent environment of intergovernmental fiscal affairs, leaders of the public library field now face a new opportunity and a new challenge. The present LSCA expires in 1976. Through the activity and hard work of many people, there is emerging a new recognition of the importance of the public library as a viable institution in a modern society. The President's statement, in his January 24, 1974 Education Message to the Congress, cited earlier in this report, can represent potentially a new and important commitment. Moreover, the nature of the commitment is not necessarily limited to a narrow single-purpose objective. Under this new initiative, a legislative program referred to as a Library Partnership Act is now being formulated. Whatever the legislative title, as it finally emerges, this action represents an opportunity to implement an appropriately strong Federal role, and to improve the total public library funding system.

State Level

As of 1970–71, a total of 35 states authorized some form of state aid to public libraries; however, only 23* states made appropriations for this purpose. The total amount appropriated was $52.5 million of which nine states appropriated $45 million or 82 percent of the total for all states. New York State alone appropriated $15.5 million, or about one-third the total for the nine states. This indicates, of course, that in the majority of states the aid system for local public libraries operates at a nominal or minimal level.

A later (1972–73) analysis by the Bureau of Library and Learning Resources (now the Division of Library Programs) noted that 13 states had *no* legislative provision for a support program. An additional nine states which have direct assistance programs provided less than $200,000 per year. Thus, 44 percent of the states either make no financial effort to support local library services, or provide amounts which must be viewed as nominal. While LSCA can be credited with activating state concern and some degree of fiscal response, it is apparent that many states still have a long way to go in providing an adequate financial base for public library services.

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*Excluding Hawaii where all library services are state funded.

There are three primary types of systems for disbursing state aid. Four states—California, Illinois, Michigan, and New York—use the plan device and require local libraries to submit plans stipulating reorganization of the library system as a "separate legal entity," providing wide access, designation of a headquarters library, and providing "adequate" local tax support. A second model is used by Pennsylvania, Rhode Island, Massachusetts and New Jersey. This approach uses elements of the total system notion and establishes several strata of libraries with regional or district level responsibilities. Such libraries may receive separate state funding. A third method, described as the Maryland approach, is a modified matching system in which the state provides a fluctuating percentage of local library revenues.

Basic governmental principles and fiscal structure considerations guiding state level involvement in funding public libraries are widely recognized. Clearly, the state has the basic governmental responsibility and the fiscal resources for the development and equitable distribution of public library services to meet the needs of all its citizens. In determining an appropriate level of public library funding from state sources, consideration should be given to developments in public education financing. In that field, a recommended course of action made by a number of prestigious study groups, including the Advisory Commission on Intergovernmental Relations and the President's Commission on School Finance, call for full state funding (90 percent level) of the costs of public education. The basic factors which support these conclusions are also germane to the public library field: (1) differential need for educational services to meet the requirement of equalized opportunity, and (2) inter-jurisdictional fiscal disparities for the equitable support of public education. The *Serrano* v. *Priest* case carried this issue to the courts. The *Rodriguez* v. *Texas* decision by the U.S. Supreme Court invalidated the Constitutional, but not the social and fiscal, relevance of the issue. The state courts face the burden of resolving the fiscal base disparities issue in terms of their own constitutional requirements. While the outcome in various states may vary, many observers believe that the issue will remain alive until equitable state funding mechanisms are implemented. The New Jersey Supreme Court has already moved to eliminate the use of inequitable tax bases as a determinant of state aid.

Local Level

The central consideration in local government source funding is the property tax. In 1970, local governments raised $39 billion in revenue from local sources; $33 billion (85 percent) of this total was derived from property taxes, primarily the tax on real estate. Nearly half ($17.4 billion) of all local property taxes were expended for public education, and the relative portion has probably increased since 1970.

The difficulties with the real property tax are many and well-known. The tax is determined on an *ad valorem* basis which means that the amount of the tax for each property owner is directly proportional to the appraised value of the land and buildings. The prime difficulty lies in determining and setting the appraised or assessment value. Most state laws or constitutions call for an assessment value on each property reflecting what a willing buyer would pay to a willing seller under open market conditions. Some states prescribe that market value shall be considered but not controlling. The difficulties increase markedly in determining assessment values for industrial, commercial and natural resource property which, under the laws of many states, must also be assessed according to market value and taxed at uniform rates.

Difficulties related to property taxation are felt in all types of jurisdictions, but particularly in urban areas. Here, burgeoning metropolitan area growth, coupled with the flight of the white middle class, has left core cities with a restricted property tax base, high tax rate, and increasing funding requirements to meet local needs. The clamor of the so-called taxpayers revolt focuses, perhaps mistakenly, on the property tax. Presidential response to this pressure late in 1971 resulted in a request to the Advisory Commission on Intergovernmental Relations to explore the use of a value-added tax as a substitute for the residential property tax used for school purposes. The investigation did not recommend such a change, but it did opt for improvements in property tax administration.

Adjustments, corrections and improvements can be made in the utilization and administration of property taxation. Most observers feel, however, that it will continue to provide the basic source of revenue of local government. State take-over of public education funding would, of course, provide much local relief. That course of action remains only a promise of the future in the vast majority of states.

These are the factors to be considered in appraising the dominant role of local government in funding public libraries. They provide heavy evidence that a substantial shift is required if we hope to sustain a viable pattern of public library services.

The Problem of Meeting Different Needs

Readership patterns and library service requirements vary and are changing further. The question must be asked whether losses or shifts in readership are due to a lack of responsiveness of the public library or lack of adequate funding, or both.

Transactions of both print and non-print media showed a *12 percent* decline nationwide, decreasing from 634 million transactions in 1965 to 560 million in 1968. The only increase in number of patron transactions occurred in the smaller cities (25,000–34,999) which showed a 6 percent increase. The *decline was greatest* (16 percent) in the largest communities, those having a population of 100,000 and over.[1]

The change in this measure of demand would appear to be quite significant—not only is the utilization of library services decreasing nationally, the decrease is disproportionate in the larger cities where public libraries originated and have their longest tradition of service. At the same time, in a number of jurisdictions, suburban demand for library services is increasing.

The problem of marked differences in core city and suburban public library utilization is compounded by the fact that expenditures for the diminishing services of core city libraries are increasing. Per capita expenditures of library systems serving populations over 100,000 doubled from 1960 to 1968. These increased costs may reflect expanded efforts of urban libraries as they seek to meet new challenges and new service needs. They also may reflect the more or less fixed expenditure patterns of library bureaucracies whose traditional services are incresing in cost, but not in relevance for meeting the needs of core city residents. In either event, hard-pressed city budget administrators and executives are likely to require more justification for their support of these services, or to reduce budgets accordingly.

The role of state and Federal fiscal policy mechanisms in this kind of situation seems clear. They should provide leadership and guidelines for local government officials to follow in the support of public libraries, and, to the maximum extent possible, provide a flow of funds which can best assist and match local fiscal effort.

Relationship to Public School Libraries

It seems clear that in further defining and sharpening role and mission, closer organizational, functional and fiscal linkages must be developed between the public library and school libraries within the public education establishment. The goal is not merger of the two systems or the absorportion of one by the other. Rather, the objective is to seek a creative and enriching mixture of the two systems to provide improved and coordinated services in all communities with the minimum duplication of services at taxpayers expense.

Today's scene in both functional areas is turbulent. Public education can be described as a battleground. It is a highly compartmentalized, bureaucratized governmental institution which, as noted earlier, is now receiving severe criticism for performance failure and its lack of full relevance to basic societal needs. A substantial part of the struggle in public education, perhaps not as visible as the fiscal, reflects the dynamic forces of basic change which are beginning to become operative. Evidence that public education is breaking out of its restraining concepts and rigid forms is emerging. Hopefully, educational goals and structures will be broadened to reflect increased concern for the quality of life, a concern that emphasizes the "sensibility" about which Molz has spoken in *The Metropolitan Library*. To the extent that these changes emerge, and to help make them happen, there is a need for strong, functional linkages between the public education and public library systems.

Structural and Organizational Problems

Finally, there are a number of structural and organizational problems affecting public libraries at state and local levels that need to be mentioned.

1. Local government can be viewed as the delivery system for many governmental services, including public libraries. Typically, state statutes permit local units of government to establish public libraries, and grant authority for their fiscal support, frequently in the form of a prescribed maximum tax rate. In many instances, that prescribed tax rate which was designed as a guarantee of fiscal support has become, with the passage of time and rising costs, an inadequate ceiling on revenues and expenditures. The larger point is that the prevalent use of permissive legislation provides not much in the way of incentive or urgency for the establishment and aggressive development of local public library services. There is little in the way of permissiveness in the state delegation of local public education responsibilities.
2. In most states, the traditional state library was created to serve the special library and archive needs of the state capitol clientele. Over the years, this agency in many states has led the way in not only providing direct service, but also in extending library services to local communities. In a national perspective, the role of the state library agency is crucial to the development of the pattern of public library services envisioned in this report. It is in the national interest to stimulate and support the strengthening of the state library agency to perform this task. What is required is an agency which is clearly charged with aggressive leadership responsibility for statewide development of adequate public library services, and equipped structurally and administratively to carry out this task.
3. Important goals in designing any governmental organizational structure or plan are (1) to provide easy access to the top executive and legislative leaders of the state and (2) to provide the means of formulating and implementing sound, progressive policies and procedures which are responsive to changing needs.

The pattern of state organization for administration of public library services varies. Board and commissions heading up state library organizations are commonly used. Some of these are independent administrative agencies; others may be advisory to the library unit housed in the state education department or some other department of state government. There is some research available which concludes that library agencies operating within state educational departments fare better, according to budget and other administrative criteria, than library units located elsewhere in state government. There are strong proponents for the use of independent administrative boards or commissions on the specific grounds that they provide direct access to the legislature and the governor. Other observers are critical of the plural executive form of organization. While more research is needed in this area, clearly no one organizational form can be prescribed for all states. The central criterion is that the state agency must be able to demonstrate substantial political clout at the highest levels of state government, and it must be supported by increasingly strong, vigorous constituencies at state and local levels. Whatever form is used, the criteria indicated above should be applied to evaluate its effectiveness.

Alternative Options for Funding the Public Library

One of the problems in formulating a set of alternative options for funding the public library is the difficulty of estimating the total national cost of a viable pattern of public library services. In this report, some effort has been made to assess fiscally and comparatively the status and level of services which now exists. In general terms, the report has been bluntly critical of the distribution, scope, pattern and content of existing services. It has been noted that total expenditures by states and localities for public library services (including Federal funds) was $814 million in 1971–72.

An effort also has been made to characterize and describe the potential role and functions of the public library in meeting the defined needs of a modern society. The points have been made with emphasis that the present system of funding the public library is basically deficient, and that the institution is an underdeveloped national resource. In its present form and at its present level of expenditure, it has not achieved anything like its full potential of service in most communities.

Based on the $814 million national expenditure described above, the per capita rate of expenditures in 1971–72 was approximately $4.00. An exemplary program, such as found in Nassau County, New York, cost just under $12.00 per capita in the same year. Current calculations for Nassau County indicate a present cost level of almost $14.00 per capita. Thus, it would seem reasonable that a more adequate national program of public library services could reflect a per capita cost range of $8.00—$10.00. Total national expenditures might then approximate a range of between $1.7 billion and $2.1 billion, based on 1974 population estimates. This would seem to be a more realistic national expenditure figure on which to formulate a set of alternative options for funding the public library.

There is a series of five options that can be considered in developing alternative systems for financing public library services. For purposes of the discussion which follows, they can be identified as: (1) status quo featuring no change from the present system, (2) a retrenchment of the Federal government financing role, (3) direct Federal funding at a 75–90 percent of total cost level, (4) expanded state funding role to the 75–90 percent level, and (5) a staged funding program moving toward a balanced intergovernmental funding system. These alternatives are intended as a strategic, rather than an exhaustive grouping of possible options. Each will be examined in terms of the possible advantages, disadvantages and problems their implementation would entail in achieving the level and nature of public library services envisioned in this report.

Status Quo

The difficulty of discussing a status quo or no change option is that, as this report makes clear, change itself is a prime feature of the present system. This is particularly true at the Federal level in relation to revenue sharing, the cutting-off of the categorical funding programs and, currently, the formulation of a new kind of Federal initiative. While it is difficult to predict the outcome of present discussions, it is certain that whatever the final formulation of the Federal program, it will have a decided effect on state and local financing patterns.

One formulation of a status quo option would be to assume zero funding of LSCA and a complete reliance on general and special revenue sharing to provide Federal funds for local library services. Based on the evidence to date of (1) the meager success of local public libraries in competing for local revenue sharing funds, and (2) the very modest response of states, under the prodding of ten years of LSCA to provide adequate levels of state funding, the outcome of implementing this kind of option seems very clear. In the present and foreseeable future climate of municipal finance, it is not likely that public libraries will be able to greatly improve their bargaining position for the tight local tax dollar. This is particularly true in urban centers where demands are greatest and where the disparities between needs and resources are most marked. Under present community development patterns, the tight local tax dollar will also increasingly represent a barrier to library development in many suburban communities. Even now, suburban communities are facing substantial and increasing municipal service and school costs, and they frequently are not equipped with the kind of tax base to easily meet new needs. Static and developing rural communities are characterized by both unrecognized needs and an undeveloped tax base and governmental organization framework. It is unlikely that rural local government will assign appropriate priority to the development of local library services.

A potential bright spot in the local government scene, in the context of their will and capability for developing improved public library services, is at the county level. Counties have the geographic size, resources and governmental capability to implement improved patterns of public library services. The current ground-swell of interest and activity in county home-rule is an added plus factor. On the other hand, less sanguine observers point out that counties have been "emerging" for at least a decade or two and, as yet, can hardly be called a viable form of area-wide government. There is also the problem that the development and provision of an adequate fiscal support base for a county program of library services must be coordinated with the diffused pattern of local services which now exists. Other emerging forms of regional governmental organizations, based on cooperative agreements among units of local government, can also be useful in developing improved local public library services. Their limitation is that they rarely have their own financing base, nor are they empowered to levy taxes against any local government tax base.

With respect to the state response under a status quo option featuring zero Federal support under LSCA and a reliance on general and special revenue sharing, the likely picture of the future is not brighter for development of a modern program of public library services. It can be argued that even the direct prodding of the LSCA has not produced the level of state fiscal response that is required, or that might be reasonably expected. Part of the problem is related to the low political visibility of public libraries, both at local and state governmental levels. In addition, as discussed earlier, the state organization for the development of public library services, in most instances, cannot be described as providing vigorous and aggressive leadership with easy access to the executive and legislative centers of political and fiscal power. State legislation is typically permissive, constrained, and lacks a firm mandate for full, continuing development of high standard public library services available to all citizens. Improvements must be made in these areas before substantially increased state funding can be expected.

Another factor that must be viewed as detrimental to achieving an upgraded state administrative and fiscal role is the Balkanizing impact of Federal revenue sharing itself. Two-thirds of revenue sharing funds are directed to local governments for the support of a wide range of services, including public libraries. States have the mandate for the development of public library services, yet they can neither guide nor direct the utilization of local revenue sharing funds in this or any other program area. It is also difficult to design an adequate state fiscal support system for public libraries that can be coordinated with a stable pattern of use with respect to local revenue sharing funds.

All things considered, it seems apparent that a status quo option, featuring zero funding of LSCA and full reliance on general revenue sharing funds, is not a likely candidate for insuring the development and continuing fiscal support of a nationwide modern program of public library services. The form and nature of special revenue sharing programs have not yet emerged from the Congress, and it would be entirely speculative to attempt to evaluate their impact. It can be stated with assurance that to achieve the kind of public library services envisioned in this report, any such Federal or related state funding programs must (1) provide substantial relief for the overuse of local tax dollars in this area, and (2) direct the use of such funds toward specific measures to improve the distribution, content and quality of such services.

A second formulation of the status-quo option would feature complete reliance on LSCA and a writing-off of any possible impact from revenue sharing funds. Some observers would argue that a writing-off of revenue sharing funds in relation to local public library services is only a nuance away from present reality. It has been noted earlier that the latest actual use report indicating the amount of revenue sharing funds used for public libraries is indeed quite small. Continued reliance on LSCA in its present form is perhaps not so bleak a picture. The key, of course, is the extent to which LSCA can induce substantial increases in state funding for public library services. It has been pointed out both that the states have lagged, but also that demonstrable progress has been made. Again, a prime factor in improving state performance in this area is to strengthen the form, impact, and mandate underpinning state public library organization and legislation. A plus factor indicating that the time is ripe to move on this front is that states currently enjoy an improved fiscal and tax base position. Partially offsetting that factor is Serrano-Priest related pressure for substantially enlarging the state fiscal role in support of public education. Such action might make substantial inroads in state level unused taxing capability.

The weaknesses of the LSCA have been pointed out. The legislation projects neither the concept nor the urging of a Federal role in developing and maintaining a program of public library services designed to meet the informational, educational, and cultural needs of an industrialized nation. Other weaknesses include the authorization-appropriations gap, the inefficiency of "floor" or minimum grants to each state, and the absence of clout in evaluating and administering the state plan requirement. These weaknesses, coupled with the fact that the level of Federal funding, historically and currently, under the Act has been nowhere near the level required to constitute a viable intergovernmental partnership for public library development, give rise to serious questions on future performance.

Retrenchment of the Federal Financing Role

This option would feature a complete withdrawal of Federal funding for the development of public library services, and will be considered here without substantive reference to general or special revenue sharing programs. Defined in this way, the option focusses directly on the Federal role question in supporting and maintaining public libraries. What it really says is that it is inappropriate for the Federal government to participate in such a program, and that fiscal support of the institution is a matter to be determined by the states and localities without Federal direction or intervention. The option, of course, flies in the face of the developmental history of public libraries guided and stimulated by the LSCA and the President's recent statement, cited earlier. It should be noted, however, that realistically, it is not far removed from the Federal position of zero funding described above. Reliance on local and state governments to make effective use of revenue sharing funds for public libraries can be viewed as tantamount to withdrawal of substantive Federal interest.

The question of the Federal role in this program area can be approached on both fiscal and philosophic grounds. Fiscally, of course, thanks to the income tax and an expanding economy, the Federal government represents the largest single source of tax receipts. While we worship at the shrine of localism in this country, we have permitted the centralization of large components of our tax resources at Federal and state levels. The revenue sharing program itself is evidence of this fact and the need to return a small portion of these funds to states and municipalities. As previously pointed out, the concept of revenue sharing originally was not encumbered with the concomitant elimination of categorical support programs. There is, then, no basis for the withdrawal of Federal support for fiscal reasons.

On the philosophic side, major emphases of this report have been to examine the developmental history of public libraries and to assess their present and prospective future potential for meeting the needs of a modern society. The intrinsic worth of the public library institution as a national resource and its, as yet, unrealized developmental possibilities for meeting these needs have been emphasized. Certainly there is no underlying philosophic rationale that can be cited to support a complete Federal withdrawal.

On the other hand, because of the particular developmental history of the public library and the functions which it can and should perform, there are indeed valid reasons for retaining and strengthening the Federal role. The public library is chronologically an old institution and it emerged out of perceptions of need which stimulated the interest and fiscal support of private benefactors. Its entry as a publicly-financed program supported as a full responsibility of government came late and, as a matter of fact, is still emerging. The Federal support program itself is less than two decades old. States have been slow to respond to library development needs for a whole variety of reasons, but they have developed new and strengthened activities as a result of a modest Federal stimulus. The institution has a quiet political posture and, while aggressive actions are needed in this area, it may be the inherent nature of the public library to project a quiet social image. It may be that such an image is both an aspect of its vulnerability and an essence of its strength as it seeks to provide a wide range of information and educational services to all. Certainly no one suggests that public libraries *should* serve only a selected clientele, or that the materials which it offers should be selected to reflect only certain viewpoints. The public library's image of social objectivity and openness to all is beyond question.

Thus, because of the historical circumstances which characterize the emergence of the public library as a governmental institution, and because of the unique and broad social purposes which it serves, it can be argued that a strong Federal administrative and fiscal role is essential to its future development. To the extent that such a role is implemented fully to insure an equitable distribution of adequate public library services, it may one day be diminished or withdrawn. This analysis makes clear that such a time is in the distant future.

Federalized Library System:
75–90 Percent Funding Level

Theoretically, it is possible to postulate a system of public libraries Federally funded, according to standards, at a 90 percent or higher level of actual costs. In terms of efficiency and a strategically directed distribution of services to achieve comparable coverage in all parts of the nation, such an optional course would rank high. It would thus be possible to exploit fully the development and application of the latest technology to provide wide accessibility to scarce reference material, and to maximize service at the lowest possible cost. Using such a plan, it would be easier and more efficient to coordinate such a program with library service programs funded under ESEA Title II, the Higher Education Act and other library-related Federal assistance programs. The Library of Congress could be viewed as the administrative arm of the Federal government for directing and supervising the operation of the proposed system. In spite of the apparent rationality that can be advanced in support of this option, the negative aspects and the sheer improbability are overwhelming factors. Federal absorption of costs to the tune of $814 million, let alone the $1.7 billion or $2.1 billion level of funding suggested in this report as more realistic, staggers the political, if not the fiscal, imagination.

Apart from such ethereal issues, the fact is that the public library is nothing if it is not a community-based agency. Proximity is an important, if not essential, ingredient, notwithstanding the most sophisticated technology. Local library boards and community relations may be faulted for not producing a more active, aggressive political constituency to insure a higher level of fiscal support, but they constitute a vital link to the local community. The quality, perhaps the very existence, of these grass-roots relationships would be greatly diminished or destroyed under a federalized system. No one who seeks a strengthening of the Federal role is likely to propose a completely federalized public library system.

Expanded State Funding Role: 75–90 Percent Level

On a scale comparable to the federalized public library system described above, this option features virtual state take-over of public library financing. At the lower level of the range (75 percent), this alternative would include both complementary Federal and local financing. At the higher level (90 percent), it would likely include either a minor amount from Federal or local sources, but not from both.

The option is similar to substantive proposals for revision of the public education financing system, and the problems to which such proposals are a response are comparable. Within each state there are wide disparities between educational needs and the tax resources required for meeting these needs on an equitable basis. State equalization formulas and grant systems have been designed to deal with the problem, but many represent only partial or inadequate solutions. The Serrano-Priest issue elevated the debate to the U.S. Supreme Court which invalidated the constitutional, but not the substantive fiscal question. As indicated earlier, the state courts are expected to resolve the issue.

Theoretically, a stronger and more feasible case can be made for state take-over of the public library financing burden than for the federalized system described above. The state is much more closely related to local municipalities and the states have a well-recognized mandate for the development of public library services. While this report is critical of state public library administrative machinery and legislative bases, they do exist and are operative. Under the stimulus of LSCA, state plans have been developed and there is growing awareness of the need for effective, statewide patterns of public library services. Some state programs are exemplary and have strong administrative and fiscal support.

Although there is a problem of inter-state disparities in terms of tax resources, there is little doubt that most states could absorb the increase in expenditures required to assure the present level of public library service costs and, over time, to progressively move to the higher plateaus proposed in this paper. It has been pointed out that the states currently are in an improved fiscal position and have the unused tax capacity to increase state spending.

Under this option, the difficulty of inter-state disparities in fiscal capacity could be reduced by a Federal input designed to alleviate some or all of the problem, at least in those states which deviate markedly from national averages. Local tax contributions could be designed on a modest incentive basis to insure an appropriate degree of local involvement in the planning and development of an improved public library system.

The prime weakness of this option, of course, is that there is no sure way of making it happen on a nationwide basis. Federal input, even at a 15 or 20 percent level, is probably not sufficient to either require or insure progressive state level response required for improved public library services. Experience under LSCA provides only partial and incomplete evidence, at this stage, of effectiveness of the Federal stimulus. Moreover, state executives and legislators may not respond well to the challenge of vastly increased state support in the present revenue sharing climate. After all, the lion's share of revenue sharing funds is directed toward the local level and public library support is one of the identified objects for which such funds can be expended. These constitute severe, if not disabling, difficulties in the possible implementation of this alternative plan.

Balanced Intergovernmental Funding System

The distinguishing feature of this alternative is indicated by use of the term "balanced" and the notion, as specified below, that such a system can be attained on a staged basis over time, or revised in accordance with new circumstances and changing developmental conditions. Such a notion is perfectly in accord with the definition of federalism as a dynamic, not static, partnership of Federal, state and local governments. Moreover, the term "balanced," as used in the formulation of this option, does not refer wholly, or even primarily, to an equilibrium based on precisely measured fiscal resources. Rather, the word is intended to reflect the degree of fiscal and administrative commitment required by each level of government to achieve the content and quality of public library services commensurate with the needs of a modern society.

One feature of this alternative system would be designed to redress the obvious fiscal imbalance of the present system in which local governments, collectively, provide more than 80 percent of the total cost of a sub-standard pattern of services. The rationale for this change reflects a response to a number of key factors previously cited: (1) public library services are at present inequitably distributed to serve total population needs; (2) local municipalities, particularly urban communities, are increasingly constrained in their fiscal ability to upgrade and expand, or even maintain, the present level of public library services; and (3) the inherent difficulty that public libraries have in developing the aggressive political constituencies and clout to win a higher proportion of tight local tax dollars.

Another feature would be directed toward defining and, to the extent possible, requiring an increased level of state fiscal support for public library services. Clearly, for reasons already discussed in this report, the state is the logical and appropriate agency to assume primary responsibility for the maintenance and progressive development of such services. It has both the mandate and the untapped fiscal resources to do the job. Observers of the LSCA program over the years have pressed for increased utilization of these funds to establish and equip viable state library administrative organizations, and they were on point. Any plan to achieve improved library services accessible to all citizens which does not feature increased state administrative and fiscal support carries with it a great burden of proof.

Still another feature would establish a Federal administrative and fiscal involvement substantially greater than the LSCA design. The Federal government would establish the planning and administrative capability to prepare its own national plan and program for the development of fully adequate public library services. The Federal funding program would be at a level commensurate with the task of inducing a higher level of state support, and in a form designed to insure that kind of state response. States would be required to prepare and submit plans specifying their objectives and action agendas to achieve defined goals. Plans would be substantively reviewed, approved and audited to evaluate progress toward defined goals and to determine eligibility for future funding.

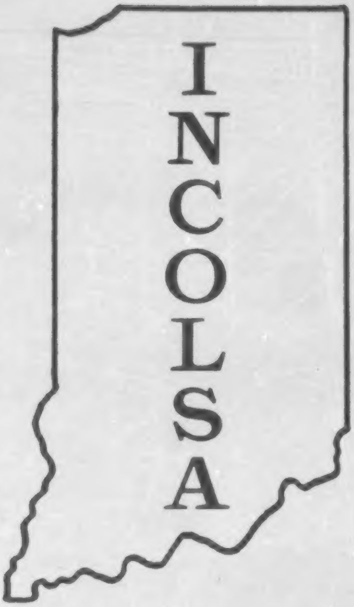
To some, this formulation of a Federal role might seem a replication of the LSCA design. It is not. What is proposed is a new and broader kind of Federal commitment geared to nothing less than an expanded and improved pattern of public library services for the nation. The intermediate and implementing objective is to insure development of an intergovernmental fiscal support system capable of achieving that goal. The expensive and inefficient "floor" payments under LSCA would be jettisoned in favor of payments geared to a fixed, perhaps decreasing, percentage of adjusted standard costs applied to plan approved programs and services. State and local ability to support such services and developmental programs would be taken into account. The plan device would be strengthened and would be used, in expanded scope, as the basis for goal-oriented Federal-state administrative and fiscal relationships.

The inevitable question arises: what should be the level or range of Federal, state and local government sharing in this kind of upgraded program? In this connection it should be pointed out that the question should be addressed in terms of a total expenditure level moving steadily upward from $814 million toward something approaching the $2 billion figure cited earlier. To achieve this progression over the time, perhaps 10 years, required to establish upgraded and expanded public library services, it would seem logical to use a staged approach. In such a formulation, the Federal proportion could start at a level of 30 percent of total cost and decrease to 20 percent over the time period. The state proportion could start at 20 percent and increase to 50 percent, and the local level could start at 50 percent and decrease to 30 percent. This kind of approach (the figures are not intended to be precise) would insure immediate relief for the over-taxed local jurisdictions, provide increased funds from state and Federal governments to launch needed program improvements and also provide for a strategic intergovernmental fiscal support system capable of achieving the goal over a ten year period of time. The ultimate degree of involvement, as represented by the final percentage figures—20 percent Federal, 50 percent state, and 30 percent local—reflects adequately an appropriate level of continuing interest and involvement by each governmental level.

The plan outlined is not intended as a precise prescription. It can be faulted, perhaps, as being impractical, even visionary in approach and design. It is intended, however, as a broad outline representative of the key features of an alternative funding system which accords with the scope, content and quality of the public library program envisioned in this report. Moreover, it provides a broad promise of a progressively improved public library program and rather immediate relief from the unbalanced present system under which the demise of the public library institution can be anticipated with much certainty.

FOOTNOTES

1. Kathleen Molz, "The Federal Role in Support of Public Libraries," Issue Paper, United States Office of Education Draft, February 18, 1972, pp. 9–10, unpublished.



Indiana Cooperative Library Services Authority

A Plan for the Future

The COBICIL Project Summary Report

Indiana State Library 1974

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The Indiana Cooperative Library Services Authority - A Plan for the Future

Summary Report of the Cooperative Bibliographic Center for Indiana Libraries (COBICIL) Feasibility Study

Prepared by

Barbara Evans Markuson
COBICIL Project Director

The Indiana State Library

Indianapolis 1974

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LETTER OF TRANSMITTAL

Miss Marcelle K. Foote
Director
Indiana State Library

Dear Miss Foote:

This Summary Report, together with the more detailed Final Report, completes the work of the Cooperative Bibliographic Center for Indiana Libraries (COBICIL) Feasibility Study.

The Study findings point to the need for a cooperative center. It is recommended that the center be established under Indiana's Library Services Authority Act and that the State Library work with other libraries to bring the recommended Indiana Cooperative Library Services Authority (INCOLSA) into being.

A number of potential INCOLSA services were considered. Priority of attention should go to establishing the basic bibliographic control needed to support state-wide interlibrary loan, reference and user services. It does not appear feasible for Indiana to develop a large-scale computer center at present, and cooperation with the Ohio College Library Center is recommended as an initial means of providing large libraries and processing centers with data base services. However, INCOLSA should develop a system to use Library of Congress MARC tapes to meet the cataloging needs of the many hundreds of small libraries in the State that cannot afford expensive services. Other areas of concern include control of non-book materials and continuing education and training programs.

The INCOLSA and Area Library Services Authority (ALSA) groups should find the COBICIL data of use in future projects. This Study did not cover all the analytical possibilities. It is recommended that a comprehensive annual statistical report be developed for all Indiana libraries to keep the COBICIL data current.

The majority of libraries surveyed, regardless of type, recommended the establishment of a cooperative center as part of the Indiana State Library. However, this approach would not allow some desirable features and is not recommended for reasons summarized herein and discussed in detail in the full report. It should be borne in mind, however, that a clear mandate has been expressed for the State Library to serve as the ombudsman for Indiana's library interests in emerging state, regional, and national networks. I strongly support this view.

As you are aware, this project had the cooperation and support of many people both in Indiana and elsewhere. Their contributions, the excellent work of the Task Force, its Chairman Harold Baker, and the Advisory Committee added greatly to the work that was accomplished. Any errors in interpretation of survey findings or this report are my responsibility.

It is gratifying to learn that, since the final meeting, work has already begun on establishing the recommended center. Some information about these recent developments is included in this report to bring readers up to date on INCOLSA.

Respectfully submitted,

Barbara Evans Markuson
Library Consultant
COBICIL Project Director

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INTRODUCTION

This report summarizes the activities, findings and recommendations of the Feasibility Study for a Cooperative Bibliographic Center for Indiana Libraries (COBICIL). A complete report has been published under the title Indiana Cooperative Library Services Authority; A Plan for the Future. The COBICIL Project Final Report (Indiana State Library, 1974. 156, A-92 p.) A limited number of copies are available; when the supply is exhausted copies will be available from Indiana State Library on interlibrary loan.

This report is organized in three parts. The first part covers the origins, activities, and work of the COBICIL Study. The second part discusses major findings and recommendations. The third describes the recommended cooperative bibliographic center and the work required to bring it into being.

Hundreds of people participated in this Study. A list of acknowledgements would, itself, be a lengthy publication. However, support given by the following groups is particularly noteworthy:

Indiana Library Association
Indiana School Library Association
Indiana Library Trustees Association
Indiana Chapter, Special Library Association
Indiana Association for Educational Communications and Technology
Program Committees, Indiana District Library Meetings
Indiana State University Library and Computer Center
Indiana Department of Public Instruction
Ohio College Library Center, Columbus, Ohio
Miami University, Oxford, Ohio
Western College, Oxford, Ohio

And, finally, appreciation is due all the librarians who completed the COBICIL Survey form.

PART I

THE COBICIL FEASIBILITY STUDY

Background

Over the past decade libraries have faced mounting problems. Costs for staff and materials are rapidly escalating, user demands are increasing, and the amount of published information is growing. Librarians are also concerned with ways to reduce duplication of effort and to provide better servides to all types of library users. The use of new technology, such as telecommunications, computers, microforms, etc., brings problems as well as benefits for libraries and library users. The interest in cooperative programs and the recent growth of on-line library networks stem largely from their potential in solving many critical problems in the library community of today.

An informal group began discussing these problems and considering Indiana's need for a cooperative bibliographic center. In early 1972 these discussions crystallized into plans for a study, at least of the academic library needs. In working with this group, Miss Marcelle K. Foote, Director of the Indiana State Library (ISL), suggested expanding the study to include all types of libraries in the State. The group readily agreed and with ISL staff developed a proposal for a U.S. Office of Education Library Services and Construction Act (LSCA) Title I grant. The proposal was approved for funding. The Feasibility Study for a Cooperative Bibliographic Center for Indiana Libraries (COBICIL) began in October 1972.

The COBICIL Study Staff

Mrs. Barbara Evans Markuson, an independent library consultant, was engaged as COBICIL Project Director. Her responsibilities included the conduct of major tasks, participation in disseminational activities such as workshops, seminars, and information releases, and preparation of project plans, the Indiana Library Survey, and project reports.

The original group was enlarged to make a COBICIL Task Force widely representative of the Indiana library community. Task Force members were nominated by various Indiana library groups.* The Task Force was a working team. Individual members carried out many specific tasks and the entire group met a total of 20 days during the Study.

An Advisory Committee was also appointed from nominees submitted by associations. This Committee enlarged the representation of types and sizes of libraries and of geographic interests. This Committee served as a sounding board and as spokesmen about COBICIL in local areas. The Committee had three formal meetings during the Study. (Members of the Task Force and Advisory Committee are listed inside the covers of this report; members of the original planning group are indicated by asterisks.)

COBICIL Activities

Efforts were made throughout the project to keep Indiana librarians abreast of developments. The Project Director spoke at all eight District meetings in 1973. In addition, she talked to the following groups:

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* The Associations and agencies represented on COBICIL committees include the Indiana Library Association, Indiana School Library Association, Indiana Library Trustees Association, Indiana Association for Educational Communications and Technology, Indiana Chapter, Special Library Association, ILS Technical Services Roundtable, and the Indiana Department of Public Instruction.

IAECT/ISLA Conference, 1973
Midwest State Library Agencies Meeting, 1973
ILA Technical Services Roundtable, 1973
ILA Automation Roundtable, 1973
Ohio Valley Group of the Technical Services Librarians, 1973
Graduate Library School, Indiana University, 1974
Staff Seminar, Purdue University Library, 1974

Harold Baker, Task Force Chairman, spoke to the Heads of Large Public Libraries meeting, and many other Task Force and Advisory Committee members spoke to local groups during the Study.

Press releases were disseminated to Indiana and national publications and stories appeared in newspapers and journals. Task Force members and the Project Director prepared articles about COBICIL; a brief bibliography of the major titles is provided on the last page of this report.

Developments about other cooperative activities were brought to the attention of Indiana librarians. Dr. Ronald Miller, Director of the New England Library and Information Network (NELINET) spoke to the Task Force and Advisory Committee at an all-day meeting at ISL. Dr. Phillip L. Long (then Associate Director of the Ohio College Library Center (OCLC)) addressed the Automation Roundtable during the ILA/ILTA Annual Conference.

Task Force members, the Advisory Committee and Indiana librarians were also given the opportunity to see a library network in operation. The Task Force visited Miama University and Western College in Oxford, Ohio, to see the OCLC network in a working environment. Through OCLC and Indiana Library Association sponsorship, the COBICIL group was able to arrange a three-day demonstration of the OCLC system during the ILA/ILTA Conference in October 1973. Librarians from Kent

State University and Heidelberg College came from Ohio to demonstrate the use of on-line terminals to Indiana librarians. OCLC staff members provided technical support during the demonstration.

The COBICIL Project Plan

The COBICIL Project Plan included three major areas of investigation. These were:

- o collection and analysis of information about Indiana libraries,
- o analysis of developments outside Indiana, and
- o generation of recommendations and a plan of action based on findings.

Three principal methods were used to obtain Indiana library data: the Indiana Library Survey, the Indiana-MARC/OCLC search project, and literature review. The first two projects will be described below.

A Survey form was developed and sent to more than 800 Indiana libraries. Surveys were sent to all public, college and university, and special libraries in the State. Private and public school libraries were surveyed on a sampling basis, because of the large number of schools involved (2,672). The public school library survey sample was coordinated with the Indiana Department of Public Instruction. The Department also handled the mailing of the Indiana Library Survey to the public schools. After tabulation of the 420 usable returns by the Project Director, the data were converted to machine-readable form at Indiana State University (ISU) Library. ISU also contributed staff time for computer programming and the ISU Computer Center contributed the time to process the data. The survey findings are reported in PART II.

Since Indiana was interested in a cooperative center to serve all types of libraries, it was of interest to learn more about the types of materials being processed in various libraries. A sample of in-process titles was selected from school, public, college, university and special libraries. These titles were searched against the MARC (Machine-Readable Cataloging records from the Library of Congress) and the OCLC records in the OCLC data base. The titles were searched against the data base by staff members at Western College, Oxford, Ohio, and the Ohio College Library Center.* The results of this study are discussed in Part II.

A letter of inquiry, accompanied by documentation about COBICIL, was sent to all state and U.S. territorial libraries. Information was solicited about relevant projects operational or underway in other areas. This information was useful in developing project recommendations.

The Study was also concerned with the preparation of project reports. These included the Project Plan, the full Final Report, and this Summary Report. The complete Final Report was sent to all Survey respondents and other Indiana libraries, to all other state libraries, to all accredited U.S. and Canadian library schools, to network centers, to library associations and journals, and to other appropriate groups. The Summary Report will have a similar distribution, but the primary emphasis will be on Indiana agencies.

In addition, two proposals were prepared and funding was obtained for both projects. The first project, funded by the U.S. Office of Education, Bureau of Libraries and Educational Technology, will investigate use of on-line networks in libraries. A report "Factors Affecting the Adaptation of Academic and Other Libraries to On-Line Networks" will be published early in 1975. The second proposal presented a basic three-year plan for the organization and administration of the recommended cooperative center - the Indiana Cooperative Library Services Authority (INCOLSA) - and requested funds to carry out this initial implementation. This project was approved for funding under an LSCA grant.

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* The OCLC data base consists of MARC records and records input, by OCLC members, in a MARC format. At the time the study was conducted there were about 750,000 records in the data base, about 400,000 were MARC records.

Summary

The COBICIL Study aimed at developing a comprehensive picture of Indiana libraries. Looking back, it is easy to find plans that were too ambitious, schedules that were not met, and time lost. On the other hand, there is now a body of planning data based on what was probably the largest library survey yet attempted in the State. And there has been an aggressive effort to inform people about the project and its findings. Several hundred people - librarians, trustees, library school students, library technicians, and educators - were exposed to networks, library automation, and formalized interlibrary cooperation. For many, these were new concepts.

During the study, librarians throughout Indiana were invariably helpful. The plans described in Part III, supported by data in Part II, are based on information and comments received from these librarians. To an unusual extent, the COBICIL group did not have preconceived notions that they tried to foist on others. The group has listened to its peers, and within the limits of its collective wisdom, has attempted to heed their counsel.

The tangible results of this Study are summarized in the following sections.

PART II

SUMMARY OF FINDINGS AND CONCLUSIONS

In assessing the feasibility of a cooperative bibliographic center, factors such as economics, need, potential services, and attitudes toward cooperation were studied. Developments in cooperation and networks in other states, regions, and at the national level were also reviewed.

In a sense, the Feasibility Study was a system analysis at the gross level. Individual libraries can be subjected to detailed analysis. However, in a state-wide study, hundreds of libraries are involved and analysis, to be practical, must be concerned with the overall picture. In addition, objective data must be coupled with subjective judgments about long-range trends, national plans, and new technology.

A summary of Study findings is presented in the following three sections. Section A deals with findings related to Indiana, Section B with the outside library community, and Section C with bibliographic standards, network economics, and technology. Recommendations are presented in Part III.

Section A. The Indiana Library Community

Background: Indiana has an official population of 5,193,669, according to the 1970 Census. It is thirty-eighth among states in size, having 36,291 square miles. Almost a perfect parallelogram in shape, Indiana is about 275 miles long and 175 miles wide. The Capitol, Indianapolis, is almost the exact center of the State.

Over the past few decades Indiana has been changing from a rural to an industrial State and non-agricultural employment steadily increases.

Education has historically been of importance and, in comparison with the U.S. overall, Indiana citizens attend school for more years. Libraries are and important factor in Indiana's economy and education.

Nevertheless, testimony before the Legislature in 1966 indicated that over half of Indiana's elementary schools had no library facilities, and that only 20% of the secondary school libraries met the North Central Association of Colleges and Secondary School standards. This situation continues to be a problem.

Indiana has a tradition of independence from Federal control; during 1956 to 1966 controversy arose over use of Federal library aid. In 1961 these funds were used at the State level, but many local boards continue to have a sincere and genuine fear of Federal control.

Indiana also has held tenaciously to units of government created in a rural society and this has influenced library development. After much debate, a county library law was passed in 1917, but only 20 county libraries were formed over the next three decades; 47 counties out of 92 counties now have such service.*

The map in Figure 1 shows where we stand now. Of the 1,008 townships in Indiana, 679 are totally served by free public library service, 29 are partially served, and 300, or 29.9%, have no free public libraries. Within this unserved area, approximately one-fourth of the State geographically, 496,000 people reside. Library service is partially provided by county libraries, now available in 47 counties, leaving portions of the remaining 45 counties without service. Service problems have also been compounded by emigration from cities to formerly rural areas that are now suburban housing developments outside the library's taxing district. This "rural" unserved population increased from 397,000 in 1970 to 452,000 in 1972. This trend is quite apparent in areas around such cities as Frankfort, Huntington, Jeffersonville, Kokomo, Marion, Muncie, Peru, and Wabash, which are industrial communities with few home sites left within the taxing district. Consequently, more affluent citizens, who by virtue of education or their careers are natural library patrons, are moving beyond the library's taxing district.

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* To conserve space, sources of statistical data and other references are not given. Interested readers should consult the full COBICIL Report for further details and footnote citations. Derivations of estimates are also explained there.

Indiana has a long, interesting, and innovative library heritage. Much has been done. Much remains to be done. The COBICIL Study is part of this continuing effort.

Library Funding and Budgets: An estimated $74,400,000 is spent annually on Indiana's libraries. The expenditures for libraries, by type, are:

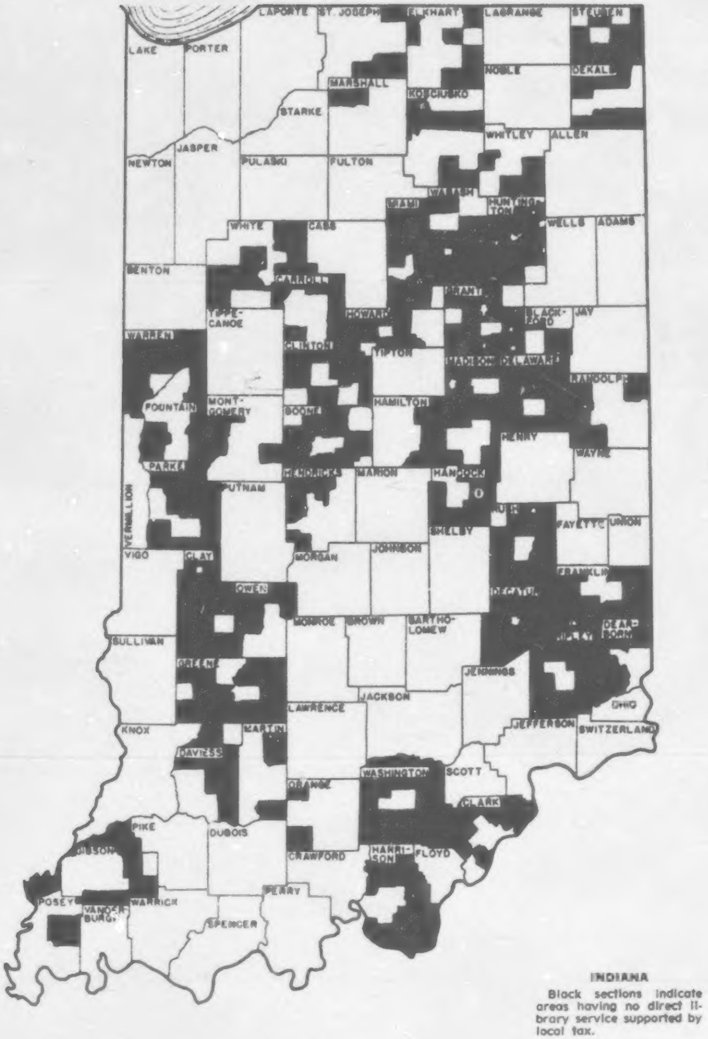
Public	$24,807,000	33%
School	21,750,000	29
College & University	21,520,000	28
Special	7,307,000	10

This annual expenditure, by budget item, is distributed as follows:

Books & Other Materials	$17,320,000	23.0%
Salaries	44,040,000	58.4
All Other Expenses	14,025,000	18.6

Figure 2 shows how library funds are expended by type of library.

Although Indiana public libraries receive a relatively high per-capita support on the average


LAPORTE
ST. JOSEPH
ELKHART
LAGRANGE
STEUBEN
LAKE
PORTER
MARSHALL
KOSCIUSKO
NOBLE
DEKALB
STARKE
WHITLEY
ALLEN
JASPER
NEWTON
PULASKI
FULTON
MIAMI
WABASH
HUNTINGTON
WELLS
ADAMS
WHITE
CASS
BENTON
CARROLL
GRANT
TIPPECANOE
HOWARD
BLACKFORD
JAY
WARREN
CLINTON
TIPTON
MADISON
DELAWARE
RANDOLPH
FOUNTAIN
MONTGOMERY
BOONE
HAMILTON
HENRY
WAYNE
PARKE
HENDRICKS
MARION
HANCOCK
VERMILLION
PUTNAM
RUSH
FAYETTE
UNION
SHELBY
VIGO
CLAY
MORGAN
JOHNSON
FRANKLIN
OWEN
DECATUR
MONROE
BROWN
BARTHOLOMEW
DEARBORN
SULLIVAN
RIPLEY
GREENE
JENNINGS
JACKSON
OHIO
LAWRENCE
KNOX
MARTIN
JEFFERSON
SWITZERLAND
DAVIESS
WASHINGTON
SCOTT
ORANGE
CLARK
PIKE
DUBOIS
GIBSON
CRAWFORD
HARRISON
FLOYD
POSEY
VANDERBURG
WARRICK
PERRY
SPENCER

INDIANA
Black sections indicate areas having no direct library service supported by local tax.

Figure 1. Areas Having No Public Library Service.

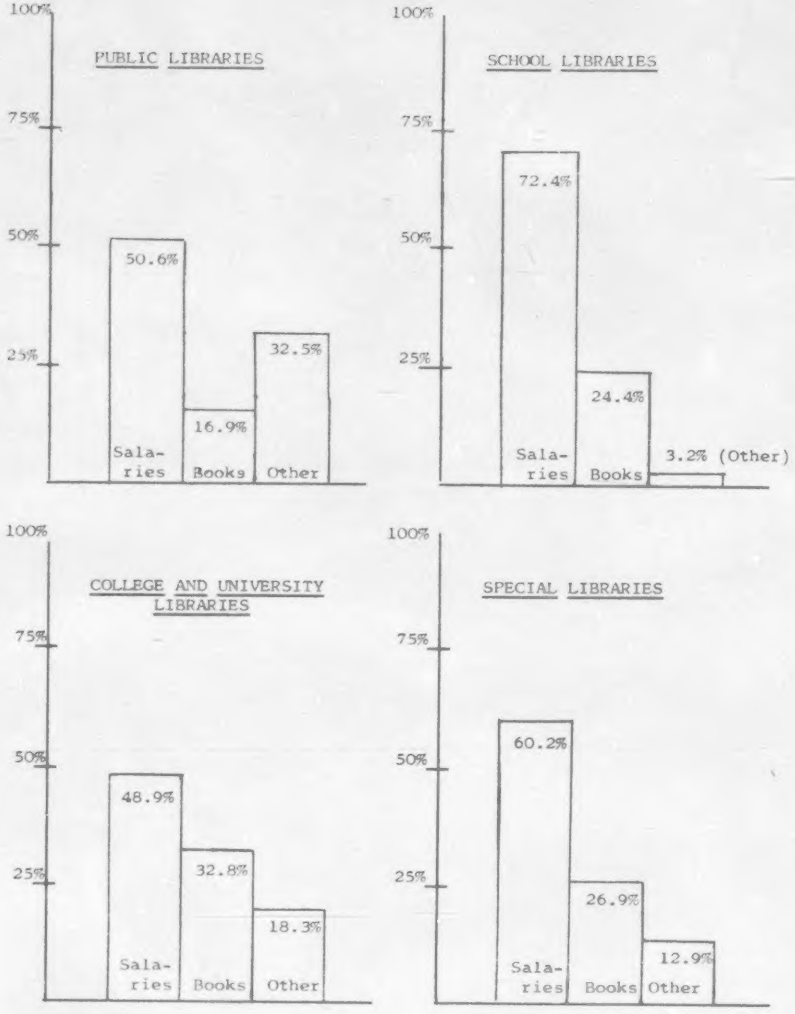


Figure 2. Where the Money Goes

($5.06 from taxes per capita), the small population base of many libraries makes for meagre budgets, especially in a period of inflation. While some Indiana libraries have budgets ranging from half a million to several million dollars, the majority operate on a modest level.

COBICIL data show that, during fiscal 1972, half of Indiana's public libraries spent less than $4,400 for books and other materials, less than $11,489 for salaries, and less than $7,755 for all other expenses. Half of the school libraries spent less than $1,994 for books and materials, less than $9,300 for salaries, and less than $400 for all other expenses.

Data for college and university libraries indicate that half spent less than $38,665 for books and materials, less than $62,000 for salaries, and less than $15,900 for all other expenses. For special libraries, the comparable figures are: $6,172 for books and materials, $18,500 for salaries, and $2,500 for other expenses.

Staff Resources: As shown above, salaries are the largest library budget item. A number of experts contend that service industries, such as libraries, are highly sensitive to rising manpower costs. During the past three years, salaries absorbed 59.3% of the total budget increases received by Indiana's public libraries. However, this increase was barely in line with cost-of-living increases (public libraries spent 8.6% more for salaries from 1970 to 1971 and 9.2% from 1971 to 1972). Therefore, it is perhaps safe to infer that, in many libraries, staffing is in a "holding" pattern and that library manpower in the State will not increase dramatically over the next few years.

Overall, the ratio of professional to non-professional staff (1 to 1.5) is much lower than the 1 professional to every 4 or 5 non-professionals recommended by library management experts. The ratio is influenced by the many libraries with only one staff member (44% or 180 out of 420 libraries responding to the Survey were in this category).

It is estimated that Indiana's total library manpower is about 7,500 actual workers, or about 6,270 full-time-equivalents. The average library staff is:

	Professional	Non-Professional
Public	3.4	3.9
School	0.6	0.3
College & University	9.4	15.8
Special	2.9	2.6

Staffing problems mentioned by respondents include:
1) shortage of skilled staff members,
2) lack of opportunity for staff to improve skills, and
3) lack of subject specialists on library staffs.

Library Collections: Collectively, 394 respondents reported 28,100,173 items. Based on this, an estimate of 42,674,000 for the holdings of all Indiana libraries was derived. Holdings by type of library are estimated as follows:

Public	11,542,600	27.0%
School	10,220,170	23.9
College & University	15,620,750	36.6
Special	5,290,460	12.4

It is estimated that the State's library resources are comprised of:

Books (including paper backs)	27,951,000	65.5%
Periodicals and other serials	4,139,400	9.7%
Films & filmstrips	512,000	1.2

Sound recordings	2,389,700	5.6%
Microforms	5,035,500	11.8
Other holdings	2,688,500	6.3

Many respondents noted the inadequacy of local collections. This is borne out by the importance attributed to interlibrary loan and the degree of interlibrary loan cooperation (only 9.5% of the respondents do not allow materials to be sent out on loan to another library).

Indiana's library collections are heavily used. The public libraries alone circulated almost 25 million items in 1972 (about 5 items for each citizen in the State on the average). Total circulation for all types of libraries is estimated to be more than 63 million items a year.

Library Operations: An estimated 760 manyears of labor is expended annually in acquisition of library materials in Indiana; the cost of this manpower is estimated at $4,897,000. This effort results in the annual addition of about 3,613,700 items comprising:

Books, including paperbacks	1,843,000
Periodicals and serials	354,200
Films and filmstrips	419,200
Sound recordings	191,500
Microforms	390,300
Other materials	415,600

Cataloging of these materials requires an estimated 1,103 manyears annually. However, this manpower is not sufficient to process all materials purchased and many libraries are unable to catalog such things as maps, periodicals, technical reports, government documents, films and sound recordings. The manpower cost for cataloging is an estimated $7,070,200.

Many respondents do not take advantage of available cataloging services. Almost 41% rely primarily on original local cataloging. Others reported use of such services as:

Commercial services & processing centers	22.6%
Library of Congress cards	21.2
H.W. Wilson cards	11.7

Slightly more than 2% have no catalog at all.

An estimated 12,372,000 catalog cards are prepared annually. Slightly more than half (6,620,700) are library produced and the rest are obtained from outside sources.

About 585 manyears are expended annually in serials activities at a cost of $3,749,850. Most libraries have small serial collections as the following estimates for the entire state show:

Total Collection	Number of Libraries	Percent
Under 1,000 items	1,760	92.0%
1,000 to 5,000 items	102	5.3
5,001 to 20,000 items	22	1.2
20,000 to 50,000 items	15	0.8
Over 50,001 items	12	0.6

The above estimates are concerned with the number of serial pieces (an estimated total of 4,139,400). The number of titles held in the State was estimated to be:

Current subscription titles	299,000
Inactive or ceased titles	124,600
	423,600

No attempt was made to determine the number of unique titles. The Indiana Union List of Serials, which records the holdings of the major libraries in the state includes 95,000 titles and cross references.

An estimated 1,117 manyears are devoted to circulation activities in Indiana libraries at a cost of $7,159,970 a year. Total annual circulation for all libraries is estimated at 63,750,200. The labor cost per item circulated, exclusive of the cost of library pages, donated volunteer effort, and equipment and materials, is roughly 11 cents per item if all costs are charged to items circulated.

About 39% of the respondents were infrequent participants in interlibrary loan, i.e., engaged in fewer than 10 transactions a year. About 66% of these participants were school libraries and, as a rule, school libraries engage in interlibrary loan to a lesser extent than other libraries do. However, some school libraries reported from fifty to several hundred interlibrary loan transactions per month.

The moderate to frequent users of interlibrary loan request materials as follows:

Less than 25 requests monthly	64.8%
26 to 50 requests monthly	15.5
51 to 100 requests monthly	6.9
101 to 500 requests montly	9.4
Over 500 requests monthly	3.4

Although many libraries send material on interlibrary loan, the majority sent fewer than 5 items per month. By contrast, 23 libraries send more than 51 items monthly, and 7 send more than 500 items a month.

Indiana libraries request of each other an estimated 291,900 items annually. Within the State of Indiana, interlibrary loan accounts for 39% of all interlibrary activity, and outside Indiana the rate is even higher. Almost 42% of all interlibrary activity between Indiana libraries and libraries in other states is due to interlibrary loan.

Indiana allocates about 1,809 manyears to reference and reader services (exclusive of circulation) at an estimated annual cost of $11,600,000. If all efforts were expended on reference inquiries, this would, at present Indiana library salaries, provide about 45 minutes of reference service a year to each citizen of the State.

Indiana libraries also cooperate in provision of reference service. Slightly more than 19% of the respondents call on another library from once a week to several times a day for such help. It is roughly estimated that there are 115,990 inquiries annually for which assistance is sought from another Indiana library. Even with outside assistance, Indiana libraries do not rate the quality of their local service too highly. The combined average response for quality of general and in-depth reference was:

Evaluation of Local Reference Service	Combined Average General/In-Depth
Good to Excellent	18%
Fair	50
Minimal Level	25
Unsatisfactory	7

This self-evaluation was corroborated by other survey data. For example, 48% of the reference manpower was non-professional. While this does not necessarily reflect on service, it is probably true overall that non-professionals are less equipped to provide high-quality service. Second, the very small book budgets in many libraries must seriously affect the quality of reference collections. Third, many respondents noted that staff have little opportunity to improve skills; this must also affect quality of service. The use of interlibrary loan and outside reference aid indicates that many Indiana libraries work to minimize local deficiencies and to provide better service to their users.

Library Management and Administration: An estimated 848 manyears is expended in library administration at an annual cost of $5,435,700. There are, of course, more than 848 people engaged in this activity. In the many libraries with a single staff member, only a portion of that person's time can be devoted to administration since duties such as cataloging, reference, etc. are performed.

Respondents were asked to identify factors that impede improvement of Indiana library service. Factors reported by more than 100 respondents are listed below with the percent of total respondents selecting that factor:

Inadequate budgets	78%
Lack of interest in library support by local governing boards	37
Lack of interest in library support by State governing boards	37
Low value placed on library service by users	31
Lack of communications between different types of libraries in Indiana	30
Inadequate local facilities & collections	29

Many libraries want to offer new services to their users. Frequently cited new services desired include: multi-media materials and equipment, film service, subject bibliographies and reading lists, improved access to material and interlibrary loan, and microfilm and microfiche services. In addition, many reported inadequate physical facilities.

Present services needing improvement were also noted. These included: improved cataloging, improved reference and bibliographic services including in-depth reference, improved multi-media facilities and services, and better selection, evaluation, and preview of materials.

Automation in Indiana Libraries: Few Indiana libraries use computers. About 59% of the respondents have no computer available to them. Many librarians reported that they have never explored use of computers. About 10.5% of the respondents used computers either through local institutions or commercial firms. However, many of these applications are for payroll and fiscal accounting rather than for bibliographic operations. More than half of the respondents reported that they had no staff members trained in automation and more than half would need significant outside assistance to plan and develop computer systems.

Computer applications reported by more than one respondent were:

Fund accounting	8 libraries
Payroll	7 libraries
Serials & periodical lists	7 libraries
Journal distribution & routing	5 libraries
Acquisitions	4 libraries
Technical report cataloging	3 libraries
Local information retrieval	3 libraries
Statistics	2 libraries
Technical report indexes	2 libraries
Periodical orders	2 libraries

Fifteen others applications were reported by one respondent each. It must be kept in mind in using these data that some libraries had more than one application; the total cannot be taken as the number of libraries engaged in automation.

The more extensive automation programs are underway in such libraries as the Indiana State University, Purdue University, and the Regional Campus Libraries of the Indiana University system. A few special libraries also have fairly extensive systems.

Use of Information Retrieval Systems: Libraries can use some data bases through national, regional, state, and commercial systems without a local automation effort. Some of these data base systems are maintained in Indiana, but most are outside the

State. Sixty-five libraries reported using data bases. The majority use them by mailing search requests to data base centers, but some have terminals for direct access.

Major Indiana data bases are INDIRS (Indiana Information Retrieval System, a socio-economic data base maintained at Indiana University and used by 36 respondents) and ERIC/PROBE (an educational research data base also maintained at IU and used by 17 respondents). Other data bases included local files of technical reports and pharmaceutical and chemical data.

National data bases used by more than one respondent are:

MEDLARS (National Library of Medicine)	19 users
MEDLINE (National Library of Medicine)	15 users
Chemical Abstracts	7 users
National Technical Information Service	3 users

Most of the data bases listed above were used by special libraries. Except for INDIRS and ERIC/PROBE, which have been subjects of demonstrations by the Indiana State Library in which terminals have been placed in public, academic, and school libraries, little use of information retrieval systems is reported by these types of libraries.

The MARC Data Base and Indiana Libraries: The MARC (Machine-Readable Cataloging) data base includes current English and French language cataloging from the Library of Congress. Only one library in the State, Indiana State University, reported extensive use of MARC. MARC has become the basis for library network activities. Therefore it was important to determine its potential for wider use in Indiana.

On a sampling basis, search slips were collected for titles in the processing stage at Indiana State Library, five academic libraries, two public libraries, four school libraries, nine special libraries, and the Crawfordsville Processing Center which largely serves public libraries. A total of 1,590 titles were searched against the OCLC data base with the cooperation of Western College, Oxford, Ohio and OCLC. At the time of the demonstration the OCLC data base included about 400,000 MARC records. Major findings were:

75% of the titles were found in the OCLC data base, of these:
54% of the titles found were MARC records and
21% of the titles found were records submitted by OCLC users.

MARC records were found for 67% of the public library sample, 45% of the school library sample, 52% of the academic library sample, and for 57% of the special library sample. An explanation of the comparatively low number of hits for school library titles is perhaps in order. Analysis of these titles showed that a high proportion was replacement titles for older works. Since MARC records date basically from 1969, these older titles were not in the file. As time passes and the MARC file grows, it is expected that more of these older titles will gradually be included.

These data indicate that the MARC data base coupled with a cooperative cataloging network has a great potential for meeting the acquisitions and cataloging needs for most Indiana libraries. Survey data show that most libraries in Indiana rarely or never purchase foreign language titles; therefore MARC, even with its current language restrictions, covers the type of book materials currently being ordered by most libraries.

Attitudes Toward Cooperation and Automation: From the data gathered in the COBICIL survey, it appears that there is a postitive attitude toward library automation and cooperation. Almost 60% of the respondents were enthusiastic about the concept of a cooperative bibliographic center and would be willing to try it. Only 2.6% of the respondents were strongly against such a center.

A number of respondents expressed concern about how such a center could be funded, but 293 out of 349 respondents expressed willingness to try to obtain funds. Concern was also expressed about participation by very small libraries.

With respect to acquisition services, 82% of the respondents believed that cooperation could cut purchasing costs and 74% believed that services and products could be provided that they cannot have locally. On the other hand, 68% thought cooperation would increase the time it takes to acquire materials. A majority felt that more effective book selection and reduction of duplicate effort would improve library service. All but 2.8% wanted final authority for book selection to remain a local prerogative.

Positive attitudes were also expressed toward cooperative cataloging services and 60% thought that such services could do a better job than they do locally. Interest was expressed in a system with some accomodation to local needs and with provision for local catalog input for certain materials. Slightly more than 75% of the respondents agree that their holdings duplicate those in other libraries and that cooperative cataloging would reduce costs. An overwhelming majority see no way in which they could automate cataloging except through a cooperative center.

While interest was expressed in cooperative serial services, serials processing does not present such a problem overall since so many libraries have such small serial collections. However, interest in State and local union lists of serials is very high.

Respondents were asked to predict how their library boards might react to a cooperative center. Given that specific details about such a center were not yet available, and that the assessment was highly subjective, the response, nevertheless, was interesting. Librarians, on the whole, seem to be more interested in a cooperative center than they judge their boards to be. They predicted board reaction as follows:

Would support participation, at least as a trial	20%
Would be interested, but would wait until success proven by others	18
Would be interested, but would probably not provide funds	22
Can't predict	29
Would not be interested or in favor of such a development for libraries	10

The most highly desired services wanted from a cooperative center, in order of interest, are:

1) Access to union catalog to support interlibrary loan,
2) Access to a large catalog of current titles and provision of catalog cards,
3) Provision of lists of new titles based on local library interest profiles,
4) Access to files of newly published and announced titles to support book selection and acquisition,
5) Services to aid in processing and use of non-book materials,
6) Access to large catalog of current titles to support local cataloging systems,
7) Provision of a complete book processing service from order through cataloging, and
8) Provision of subject bibliographies of current interest.

Respondents also wanted film booking services, subject information retrieval, access to non-current title information, information about new serials, machine-readable catalog data for local use, and services to assist control of technical report literature.

Section B. Cooperative Developments Outside Indiana.

Through site visits, consultation, literature review and correspondence, information on relevant developments outside Indiana was obtained. Some major activities are summarized below.

California: The California State Library is currently studying ways to automate the state's union catalog. An evaluation study of the 21 public library systems that form the state system is also underway. Recently the State Library has contracted with Stanford University to explore the adaptation of Stanford's on-line library system (called BALLOTS) for state network use. BALLOTS includes acquisition, cataloging, and authority file control and is compatible with LC's MARC services.

Connecticut: A state-wide directory of subject strengths in Connecticut libraries is in its second edition. A state-wide interlibrary loan Teletype network is used in connection with microfilmed catalogs of major public libraries. These catalogs are searched by motorized, semi-automatic film readers, allowing prompter dispatch of loan requests. The catalog has 85,000 titles and 93,000 added locations. Plans are also underway for a state-wide Telephone Reference Service that will allow anyone to call, toll free, for reference aid. Also in planning are a state-wide library card and a rapid delivery service.

Washington: The Washington State Library Network currently provides a MARC-based cataloging service which prepares catalog cards and book labels for members. A state-wide catalog of holdings with subject, author, and titles indexes is printed as a byproduct of cataloging. At present 130 libraries are included. In 1975, the Network will be expanded to allow on-line cataloging; acquisitions and circulation control are in planning. This Network is of great interest since, to date, developments have been totally funded by the State, and it is anticipated that the State will continue to fund the Network. The Washington State Library Network is one of the few systems that is completely compatible with the MARC standards; all input to date has been done centrally at the State Library. Processing is done on computers at the State data processing center.

Other states are in various stages of cooperative developments. The selected examples above show that Indiana is not alone in its interest. While a few states are ahead in their network plans, Indiana is among the frontrunners at this time.

Other Networks: The majority of networks have organized on some basis other than the state. There are local networks, type of library networks (usually academic libraries), and multi-state networks. The major developments are summarized below.

The Ohio College Library Center (OCLC): This nonprofit organization, established in 1967, has headquarters in Columbus, Ohio. Originally intended for Ohio's academic libraries, membership is now extended to all types of libraries and to library networks in other states. The network is administered by a Director and an elected Board of Trustees.

OCLC has had an astounding impact. Its use of technology has been innovative and effective. A data base of about 1,200,000 catalog records is maintained and members can access theses records from on-line terminals in their libraries. They can search the data base, order catalog cards for records in the data base, or input local cataloging directly to the system. The terminal has a cathode-ray tube (like a television screen) on which information is displayed and a typewriter keyboard for input. Catalog cards are printed to member specifications and are mailed already sorted and alphabetized for filing.

When catalog records are shown on the screen, codes for libraries having that title are also shown. This facilitates cooperative purchasing and interlibrary loan. Over 300 libraries participate in OCLC. A recent development provides access via Teletypewriters; this will encourage the use of OCLC by smaller libraries that cannot afford the more expensive display terminals.

The New England Library Information Network NELINET: NELINET, a non-profit network, serves the six New England states. Part of the New England Board of Higher Education (NEBHE), NELINET has a central staff and an elected board.

Since 1966 NELINET has supported a number of cooperative programs. At one time it provided offline cataloging services through a contractor, but now provides these services through OCLC. NELINET has recently acquired a minicomputer to handle member telecommunication with OCLC and other tasks. NELINET also sponsors programs related to government documents, union lists of serials, authority files, and staff directories, among others. NEBHE recently established the Northeast Academic Information Center (NASIC) to provide libraries with access to information retrieval data bases.

Like OCLC, NELINET has been funded by private and Federal grants and member fees. Both groups have also received some state funding. NELINET now includes all types of libraries, including state libraries, as members.

Other Networks: SOLINET (Southeastern Library Network) has been established to serve a 10-state area; it will contract with OCLC for initial service, but plans to have its own computer center at some future time. PALINET is a network of libraries in the Philadelphia area; PRC serves libraries in the Pittsburgh area; both are members of OCLC. The CAPTAIN network covers the New Jersey area and is developing its own computer system. New York Public Library, Harvard, Yale, and Columbia universities have recently formed a network called Research Libraries Group. They plan to undertake a massive development effort that, its backers believe, will be of value to other networks serving large research libraries.

Many other networks are operational or in planning. Recently a group has begun a study of network needs in the upper-midwest area including Indiana. This regional network effort is coordinated by the Committee for Institutional Cooperation located at Northwestern University.

The rapid growth of networks probably stems from rising costs, increasing service demands, the information explosion, and the high cost of sophisticated computer systems. By joining together each library can benefit and gain far more than it could do alone. Scientific evaluations of networks have not yet been made, but few libraries have withdrawn from the OCLC system and many claim significant reductions in local processing effort and costs.

The National Commission on Libraries and Information Science has issued several documents stressing the Commission's interest in a national library network. Unfortunately, specific details, costs, and implementation schedules remain to be developed. Many experts believe, however, that interest in networks will continue and that, eventually, whether a national plan is implemented or not, the majority of libraries will, in the future, be served by networks.

Technology and Libraries: Since 1950 many technical developments with potential for libraries have been announced. In addition to computers, on-line telecommunications, computer-output-microform, and automatic photocomposition all have found a place in library automation. Many systems attest to their usefulness for library processing.

Some of these highly desirable technical developments are beyond the resources of all but the very largest libraries. Keeping a large data base online during the working day is expensive, especially when the data base has hundreds of thousands of records. Photocomposition devices and computer-output-microfilm equipment are expensive. Development and maintenance of complex systems requires highly specialized staffing. Thus, while new technology brings many benefits, its use raises many problems. Library networks are one answer. A network distributes the cost of equipment, data bases, and expensive staff over many users. With the advent of the minicomputer and packaged systems, library automation for some operations will become increasingly feasible for small libraries. However, for operations that require access to large data bases, the network approach will probably be the best solution.

The Library of Congress MARC Services: The availability of catalog records from the Library of Congress in a standard machine-readable format for computer processing has greatly influenced library automation. These records can be used to generate selection lists, order forms, catalog cards, book labels, bibliographies, book catalog entries, new book lists, etc. Over 70 subscribers use the service, however many of these subscribers are commercial firms and networks who use the tapes on behalf of hundreds of libraries.

Over 500,000 records for books have been distributed since the service began in 1969. Recently, records for films and filmstrips, maps, and serial titles have been added to the service. Formats have also been developed for other materials and, as funds are made available, LC will undoubtedly expand MARC both in languages covered and in types of materials included.

MARC is only one of many data bases of value to libraries. Many associations, government agencies, and commercial firms have developed data bases. Individual libraries have not found it economic to use data bases, in most cases, unless use can be shared among groups of libraries.

There are a number of applications, such as circulation, where independent library automation has proved economic. However, the vast majority of libraries in Indiana are not in a position to utilize automation and thereby obtain the benefits. Neither do they have the resources to build data bases locally. For these libraries, cooperative development, coupled with MARC and other data base services, is the most feasible method of bringing new technology to the majority of Indiana's libraries.

PART III

A COOPERATIVE BIBLIOGRAPHIC CENTER FOR INDIANA'S LIBRARIES

Introduction

This section deals with five basic topics:

1) The need for a cooperative center,
2) The feasibility of a center,
3) The organization, funding, and operation of a center,
4) Potential center services, and
5) A plan of action.

The Need for a Center

Assessment of need can be reduced to one basic question. Do Indiana citizens have uniform access to high-quality library services and efficient libraries throughout the State? If the answer is "yes," it is difficult to see the value of a center. If the answer is "no," then a center should be considered, among other alternatives, as a way of improving service.

Almost 500,000 Indiana residents do not have free public library service. School libraries have many weaknesses and, indeed, many schools have no libraries at all. Large numbers of libraries in Indiana operate on small budgets, and many have only a single staff member. Staff resources are strained; many school librarians must serve several schools and report on the inadequate service that students receive under this arrangement.

Bibliographical control over many materials is inadequate. The majority of respondents do not catalog periodicals, maps, and government documents, and more than a fourth do not catalog films and filmstrips. A number of respondents have difficulty in keeping abreast of cataloging with the limited resources available to them.

Many collections are quite small. About 62% of the respondents add fewer than 1,000 books, including paperbacks, to their libraries each year. This inadequacy is only partially overcome by interlibrary loan, since there is no union catalog with which to locate needed materials.

Although Indiana has many fine libraries, it is apparent that library service could stand substantial improvement. What alternatives exist in considering this problem?

One alternative is to try to improve each individual library to make it self-sufficient. The cost of this alternative is enormous; even the largest research libraries in the U.S. are moving away from the idea that they can afford self-sufficiency. Even if money were available, we would still have to consider the validity of this approach. Is it really desirable to build up one to two thousand highly qualified separate staffs skilled in cataloging, given that a large portion of Indiana's cataloging load already exists in machine-readable form on MARC tapes and that catalog cards can be produced rapidly and accurately by computers? Would it not be better to spend money on improving user services at local libraries?

A second alternative is development of a cooperative center as part of the Indiana State Library program. ISL has statuatory authority to strengthen service throughout the State and has worked actively to support cooperative efforts. However, even with an aggressive policy, it seems unlikely that librarians will be able to get large amounts of State money to build a center within the next few years. It can also be argued that a cooperative center should have cooperative management through elected boards and that, in the long run, more will be gained by sharing the responsibility among all libraries than by putting all the burden on the State Library.

As a third alternative, Indiana could contract for services with a commercial firm or an outside network without having its own center. However, few outside networks provide a range of services, allow participation by private and special libraries, and none would address all of Indiana's specific needs. While such contracts may be suitable for certain services, it does not seem wise to delegate this responsibility outside the State. The great majority of Survey respondents did not favor this approach, although some recommended cooperation with outside groups to share costs whenever possible.

A fourth alternative is to do nothing. The impact of this approach is not entirely clear, but it does not seem likely to result in improved services. Many librarians express concern over retrenchment in service, facilities, and staff. The local librarian, working alone, must give attention to local needs; a cooperative center working for all libraries could play an effective role in strengthening library support and in making existing resources go further through cooperation.

The COBICIL data strongly support a fifth alternative - a cooperative center. A center is a necessity for the sound development of state-wide programs. The needs were summarized above and a strong basis exists for cooperation. Librarians express a belief in the value of a center and, recently, several cooperative programs have been started including the Union List of Serials, the Teletype network for interlibrary loan, the Crawfordsville Book Processing Center, and the newer multi-county Area Library Services Authorities (ALSAs). These beginnings point the way to expansion of cooperation in the future.

The Feasibility of a Center

All indicators point to the feasibility of cooperative centers. The National Commission on Libraries and Information Science has repeatedly predicted a national network linking states and regions for library service. Some states and regions have already demonstrated the benefits of networks and cooperation.

It can be argued that it is best to delay an Indiana center until the national network plan crystalizes. However, a stronger case can be made of the dangers of waiting for Federal action. Indiana should identify its needs and the type of services required to meet those needs. It can thus begin solving its problems without Federal action and yet provide needed input to national network plans. The national system may, in fact, develop from the bottom up rather than from the top down. At any rate, Indiana needs a center to help ensure that its libraries are properly served.

The technology basic to the programs desired by Survey respondents is available now. Funding for these programs is not available now, but is more likely to be forthcoming from cooperative than from individual efforts. Increasingly, foundation and Federal support is given to cooperative rather than to individual library programs.

Indiana is moving to local, formal cooperation through the ALSAs. As ALSAs become established, many innovative programs will result. However, ALSAs will undoubtedly find that many desirable programs have state-wide impact and will require larger support than one or two ALSAs can provide. A state cooperative center, working with the ALSAs, will provide Indiana libraries with an efficient cooperative structure. This structure should help ensure that programs are developed at the most practical and economic level to meet local needs.

Center Organization, Operation, and Funding

No evidence was found to support the idea that different types of libraries should be served by different networks. Rather, findings affirm the benefits of a single network for all libraries.

Consideration was given to many organizational patterns. After weighing the disadvantages and advantages of various alternatives, the most suitable organization was determined to be a separate non-profit organization. This allows for high visibility for the center, wide participation by librarians throughout the State, and an organizational basis compatible with many other networks.

Examination of the organizational provisions of Indiana's Library Services Authority Act of 1967 (printed in full in Appendix A) revealed its general suitability for a state-wide cooperative bibliographic center. The Act provides for:

1) Formation of a non-profit municipal corporation (called a library service authority),
2) Contractual service agreements between Indiana libraries and the authority,
3) Participatory management, and
4) Mechanisms for contracting for, and termination of, membership in the authority.

The Act provides a great deal of flexibility in operation. The authority can:

1) provide library services,
2) employ staff and obtain equipment and property,
3) receive funds from members, Federal agencies, and donors and expend funds without appropriation,
4) adopt by-laws, administrative procedures, rules and regulations,
5) enter into contracts and invest funds,
6) have private members, providing that public members are a majority, and
7) have tax-exempt status in Indiana.

Overall, the Act provides most features required and avoids many restrictions that have hampered other networks. There are some regulations that are cumbersome such as the paperwork involved in annual contract renewals, the audit and supervision by the State Board of Accounts, and required bonding of certain employees. In general, these controls are tighter than required for operation as a private non-profit organization. However, tight controls are not always bad, particularly when large funds are involved, and, overall, the advantages far offset the disadvantages.

It is recommended that Indiana's cooperative center be established under this Act. To comply with the Act's designation requirements, it is recommended that the center be named the Indiana Cooperative Library Services Authority (INCOLSA).* The name INCOLSA will be used hereafter in discussing the proposed center.

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* To some, the term "Authority" has dictatorial overtones. Readers are reminded that, in this case, the operative definition is "a public agency or corporation with administrative powers limited to a specified field." The Tennessee Valley Authority is a similar agency at the Federal level.

Funding will be a problem. Libraries will have to recognize the benefits of membership. That such benefits can be realized is shown by the many cooperatives and networks that have retained members over long periods, including periods of decreasing local library funding.

Four basic funding sources are: membership fees, Federal and State funds, and foundation grants and donations. All of these must be aggressively pursued.

The total annual library expenditure in Indiana was estimated at $75,000,000. Theoretically, at least, INCOLSA could be funded reasonably well if each library allocated even one percent of its budget. The fallacy of this, over the short run, is that concerted action would be required by over 2,000 librarians and governing boards.

Even so, for the near future, it may well be that major support must come from member libraries. It is always easier to spend someone else's money, but it makes it more difficult to obtain State and Federal funds, and foundation support, if library members aren't willing to provide basic funding.

It should be incumbent on INCOLSA's management to operate within reasonable budgets and to avoid grandiose schemes and commitments. After allowing for an initial settling in period, library cooperatives should be judged like any other service. Are its products useful? Are real needs met? Is demand growing? Is clientele expanding? Adopting an entrepreneurial stance from INCOLSA's inception should do much to ensure success and longevity.

Recognizing the need to allow Indiana libraries to accommodate INCOLSA into local budget cycles, the COBICIL project included a search for basic funds. A LSCA grant was obtained to allow initial funding should Indiana libraries express interest in establishing INCOLSA. This grant covers an initial three-year period for a modest program.

It is recommended that, soon after its establishment, INCOLSA management should:

1) Advise members and potential members of annual fees so these can be allowed for in budget planning,
2) Seek Federal and foundation funds for specific projects, and
3) Study means for seeking State funding for part of INCOLSA's operation.

Initial operation rests on three basic components: a facility, a director, and members. Major factors for each component are discussed below.

Criteria for locating the INCOLSA center were based on operational needs and long-range goals. These include:

1) Location convenient for visitors, e.g. nearby transportation, good access, and parking,
2) Ability to expand as program grows,
3) Lowest possible annual cost,
4) Access to low-cost meeting facilities,
5) Potential site for data processing equipment,
6) Reasonably equitable access for all members, and,
7) Convenient access to facilities, preferably on a 24-hour, 7-day basis, if required.

Indianapolis is recommended as the most suitable setting. Its advantages include location at the center of the State, convenient travel for in-state and out-of-state visitors, proximity to the State Library and other State agencies, access to support services such as computer services, printers, business services, and conference facilities.

The administration of library networks is a specialty for which none of our profession has been trained. The INCOLSA Director needs library skills and an ability to administer an organization that does not have a parent agency upon which to rely.

The Director's major tasks include research and development planning, representation of INCOLSA to other groups, communication with INCOLSA members, program administration, and continuing assessment of Indiana's library needs.

Thus the Director will be of major importance in implementing INCOLSA and developing its initial programs. Among major qualifications are enthusiasm, ability to communicate effectively, working knowledge of libraries and data processing, interest in all types of libraries, and administrative ability. The tentative organization chart on page 39 shows the relationship of the Director to other INCOLSA organizational units.

Potential INCOLSA Services

Four major program areas were identified from Survey responses. These are: reference and bibliographic services, bibliographic control services, delivery services, and educational services.

Reference: Respondents noted several desirable reference and bibliographic services. In order of preference these are:

1) Development of a union catalog to support interlibrary loan,
2) Bibliographies of:
    a) new titles to match local library interest profiles,
    b) subjects of high current interest, and
3) Information retrieval from machine-readable data bases in special subject areas.

Types of bibliographies suggested included subject bibliographies, list of Indianaia, materials for juvenile readers, reference and bibliographic tools by ALSA area, listings and indexes of special collections, and various types of union lists.

Bibliographic Control: Bibliographic control ser-

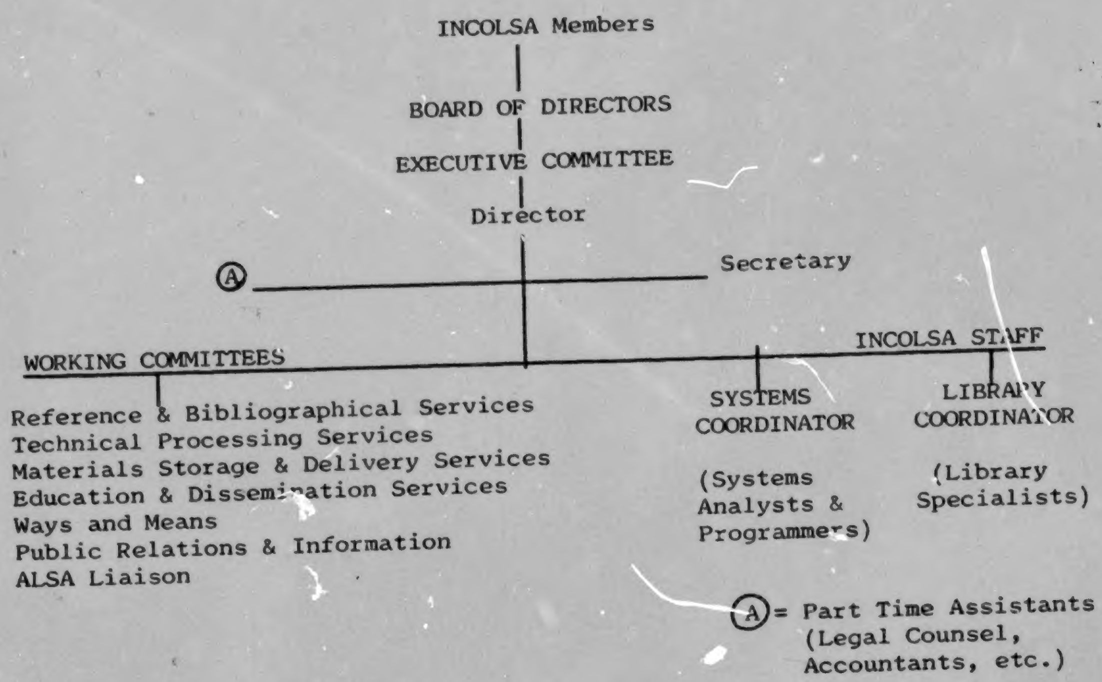
INCOLSA Members
BOARD OF DIRECTORS
EXECUTIVE COMMITTEE
Director
Ⓐ
Secretary
WORKING COMMITTEES
Reference & Bibliographical Services
Technical Processing Services
Materials Storage & Delivery Services
Education & Dissemination Services
Ways and Means
Public Relations & Information
ALSA Liaison
INCOLSA STAFF
SYSTEMS COORDINATOR
(Systems Analysts & Programmers)
LIBRARY COORDINATOR
(Library Specialists)
Ⓐ = Part Time Assistants (Legal Counsel, Accountants, etc.)

Figure 3. Suggested Initial INCOLSA Organization

vices of major interest were: information services to support technical processing, monograph cataloging services, and non-book processing services. The most desired cataloging products, in order of preference, were: full sets of catalog cards, book labels, lists of newly cataloged titles, special catalogs, and cross reference cards for names and subjects.

Acquisition services of interest included: lists of new titles available for purchase, evaluation and materials selection advisory services, information to assist cooperative local purchasing to prevent unneeded duplication, and aid in identifying difficult citations.

Less interest was shown in services to support serials processing. Outside of union lists, the most desired serial services were subscription renewal, alerting services for new serial titles, information about changes in serials, and depositories for infrequently used serials.

Delivery Services: Proposed services for materials storage and delivery included interlibrary loan support, book services for films and other non-book materials, and storage programs such as last-copy depositories.

Educational Programs: The need for continuing education and the lack of opportunities for such training was noted by many respondents. Areas of special need include: training in data processing concepts, information retrieval, interlibrary cooperation, and the MARC formats. Other potential areas are training in the new International Standard Bibliographic Description (ISBD), new technologies, and national programs of relevance to Indiana.

A Plan of Action for INCOLSA

A suggested schedule for INCOLSA implementation is

Organizational Activity	Target Date
1. Establishment of INCOLSA as a Legal Entity	July 1974
2. Appointment of INCOLSA Director	Sept.1974
3. Establishment of INCOLSA Office	Oct. 1974
4. Adoption of Objectives	Nov. 1974
5. Adoption of Program Plans	Jan. 1975
6. Staffing INCOLSA Office	Apr. 1975
7. INCOLSA Committee Assignments	May 1975
8. Recognition by IRS as Tax Exempt, Non-Profit Organization	May 1975
9. Adoption of INCOLSA Fee Policy	June 1975

Figure 4. Suggested Schedule for INCOLSA Implementation

shown above. Major tasks are summarized below.

Legal Entity: Use of the Library Services Authority Act simplifies tasks of incorporation. The required paperwork should be completed by the target date.

Director: Appointment of a Director is critical, since it will require full-time commitment to accomplish subsequent tasks. If a Director cannot be found by January 1975, an interim appointment should be considered.

Headquarters: If suitable quarters are not available by the target date, temporary quarters may have to be used. This should be avoided if at all possible because the operating address will be required for certain legal papers. Use of temporary facilities will also cause communication problems and will tend to diminish INCOLSA's initial impact.

Objectives: The INCOLSA Board will need to adopt specific objectives and realistic short-term goals. The objectives suggested in this report (see pages 43 and 44) should be of assistance.

Programs: Programs should not begin without written, agreed-upon plans. A program plan should specify the activities to be performed, the resources required, the products to be delivered, and the program schedule. These plans serve as statements of what INCOLSA will do in its initial three years.

Staffing: Program plans will help determine the skills required by INCOLSA staff. After plans are adopted, needed staff can be hired.

Committees: Committee assignments should also relate to program plans, in order to give focus to Committee assignments. Some suggested Committees are listed on page 39.

IRS Recognition: U.S. tax-exempt status will allow INCOLSA non-profit mail rates, eligibility for certain grants, and may stimulate donations. Papers need to be files shortly after incorporation to meet the May target date.

Fees: An INCOLSA fee policy will require careful study. A year should be sufficient to determine the interest in INCOLSA, the stability of that interest, and opinions on various fee strategies. Librarians preparing biennial budgets need to budget well in advance for INCOLSA support after termination of the three-year initial subsidy.

INCOLSA's Three-Year Plan

From the discussion above, it can be seen that INCOLSA has a great potential for service. The long-range objectives and goals cannot be accomplished within the first three years. However, OBJECTIVE 1: To Improve Services to Library Users

Goal 1a.	To develop a union catalog of major Indiana library resources.
Goal 1b.	To develop an effective telecommunications system for interlibrary loan, including rapid location and delivery of materials.
Goal 1c.	To increase overall coverage of materials, including audio-visual materials, by reducing unnecessary duplication, through effective resource development programs.
Goal 1d	To develop effective systems for use of machine-readable data bases.
Goal 1e	To develop last-copy depositories for materials.
Goal 1f	To improve services, by cooperative action, to specialized user groups including business and industry, agriculture, municipal and state agencies, and the disadvantaged.

OBJECTIVE 2: To Reduce the Rising Costs of Library Operations

Goal 2a.	To reduce the number of local library processing units through establishment of cooperative central processing.
Goal 2b.	To develop systems for use of Library of Congress MARC tapes to reduce local cataloging efforts.
Goal 2c.	To encourage use of standardized technical processing forms and catalog cards.
Goal 2d.	To work toward cooperative cataloging of non-book materials.

Figure 5. Suggested INCOLSA Objectives
(Con't)

OBJECTIVE 3: To Make More Effective Use of Indiana's Library Personnel

Goal 3a. To reduce duplication of effort.

Goal 3b. To share expertise on a State-wide basis.

Goal 3c. To promote in-service training.

OBJECTIVE 4: To Ensure Effective Integration of Indiana's Libraries in a National Library Network

Goal 4a. To promote use of national standards.

Goal 4b. To report national developments to Indiana library and non-library groups.

Goal 4c. To inform the outside community of Indiana's library network plans.

Figure 5. (Cont.) Suggested INCOLSA Objectives.

a start can be made toward programs leading to the accomplishement of the long-term objectives. INCOLSA's program plan should be reassessed annually since technology changes rapidly and new services may become feasible.

During the first three years, it is suggested that activities be confined to four areas:

1. Continuation of the Union List of Serials (Objective 1, Goal 1a)
2. Initiation of MARC-based cataloging for small and large libraries (Objective 2, Goal 2b)
3. Pilot Project Union Catalog of Books (Objective 1, Goal 1a)

4. MARC Cataloging Workshops
(Objective 3, Goal 3c)

These services will provide a sound beginning for a state-wide cooperative program.

Union Catalog of Serials: The Indiana Union List of Serials* needs reassessment. A serials conversion project, supported by the Library of Congress and other major libraries, will add serials to the OCLC data base. The feasibility of using OCLC for updating and converting the List to conform to national standards should be considered. Alternative host sites for the project should be studied to determine whether the present host library, another Indiana agency, or a contract with an outside group, e.g. the Minnesota Union List of Serials Project, is most suitable. This initial foundation for state-wide bibliographic control should be continued.

MARC Cataloging: MARC must be promoted in Indiana. Unless cataloging can be captured in machine-readable form in a standard format, the long-range goals of efficient user services and integrated information and interlibrary loan systems cannot be achieved.

The majority of Indiana libraries cannot afford use of an on-line network at current OCLC or commercial rates. Economy in cataloging and use of MARC for these libraries must rely on use of OCLC via processing centers or by the development of an INCOLSA MARC service tailored expressly for small libraries. Both alternatives should be carefully studied.

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* It is recommended that the term "catalog" replace "list" to make a parallel between a Union Catalog of books, Union Catalog of Serials, Union Catalog of Films, etc. This terminology might make it easier for non-librarians to grasp what is being done. In fact, "cooperative catalog" might even be better than "union list" in this regard.

Some suggested specifications for a small-library catalog service are:

1. Total cost of $1.00 or less per item processed.
2. Overall capacity to handle 250,000 titles per year for small libraries.
3. Complete MARC compatability.
4. High-quality standardized output.
5. A maximum systems cost of $300,000 for development and equipment.

It is recommended that INCOLSA make no changes to MARC data and that a state-wide catalog card format be adopted. This will ensure standardization and minimize costs and programming efforts.

There are large libraries and processing centers in Indiana that can profitably use a network such as OCLC. INCOLSA cannot afford to develop an OCLC system of its own in the near future. It will be more economic if a service contract with OCLC can be negotiated. INCOLSA should identify those libraries that can effectively use OCLC (the current U.S.O.E. network study, underway as a separate Indiana State Library project,in which factors of network use are being studied should be of great value here). These libraries should be partially subsidized to allow transition to a network operation. The contract with OCLC should require delivery to INCOLSA, at specified intervals, of records input by INCOLSA members, to form the beginnings of an INCOLSA data base.

During the course of this Study, the feasibility of an OCLC contract was discussed with OCLC's Director. Although both sides expressed interest, no commitments were made. Readers should understand that OCLC is not obligated to serve INCOLSA. It seems reasonable to expect that, if at all possible, services would be extended to Indiana.

The major initial thrusts toward building data bases for book titles are:

1. OCLC contract, and
2. INCOLSA catalog services.

Pilot Union Catalog: When data have accumulated as a result of OCLC input and INCOLSA catalog service input, experiments can be conducted to determine efficient methods for producing state-wide book catalogs. A variety of formats and media, e.g. hardprint, microfilm, microfiche, etc., should be explored. The register and index catalogs used by the Washington State Library Network are recommended for consideration.

MARC Workshops: The concepts of cooperative bibliographic control, library data processing techniques, and machine-readable bibliographic formats need to be promulgated in Indiana. The MARC format, in particular, will be basic to many subsequent INCOLSA projects. It is recommended that MARC workshops be held both for the libraries that will be using the OCLC system and for other libraries as well. These workshops might be appropriate joint ventures between INCOLSA and ALSAs. Possibilities for workshops and seminars in other topics of interest should also be pursued.

Other Activities: In addition to the specific projects reviewed above, INCOLSA Committees should be established to explore areas such as non-book cataloging, use of data bases, control of Indiana's state and municipal publications, school library needs, and subject and other bibliographies.

As these Committees come up with specific proposals, these should be reviewed and, as appropriate, funds should be allocated or sought to initiate recommended projects. INCOLSA should also be receptive to unsolicited proposals.

INCOLSA should begin a Newsletter to keep members informed of State and national network developments. INCOLSA should also seek representation on appropriate state, regional, and national network planning groups.

INCOLSA Initial Three-Year Budget: The initial activities described above can be funded for the first three years at an estimated total cost of $750,000. Accordingly, this amount was requested from LSCA funds and, by the end of the COBICIL Study, funding was approved.

POSTSCRIPT

"Well," you may say, "it sounds good, but will it happen?" I will answer, "it will happen, but not exactly as reported and recommended here." A plan on paper and a real organization implementing that plan are two different things. There are people. Machines that don't work like they are supposed to. Deadlines that are not met.* Budgets that will not stretch.

At any rate, the first step has been taken. Some recommendations will take years to implement. The important thing, however, is to begin.

POSTCRIPT 2

Since the formal ending of the COBICIL Study, the recommendations have begun to be put into action. INCOLSA has been founded (see pages 49-56 for the enabling Act and initial contracts). The first INCOLSA Board is listed on the inside back cover. For further information about INCOLSA, contact the organization at 1100 West 42nd St., Indianapolis, Indiana, 46208.

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* This happens to Feasibility Studies, too.

The Library Services Authority Act 1967

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AN ACT to establish library services authorities.
(Approved March 4, 1967)

BE IT ENACTED BY THE GENERAL ASSEMBLY OF THE STATE OF INDIANA:

PURPOSE

SEC. 1. It is the purpose of this act to encourage the development and improvement of all types of library service and to promote the efficient use of finances, personnel, materials and properties by enabling governing authorities having library responsibilities to join together in a municipal corporation called a library services authority, which will provide such services and facilities as the governing authorities party to the establishment and support of the library services authority may determine. (Burns 41-1201) (IC 1971, 20-13-6-1)

SHORT TITLE

SEC. 2. This act may be cited as the "Library Services Authority Act." (Burns 41-1202) (IC 1971, 20-13-6-2)

DEFINITIONS

SEC. 3. The term "governing authority" when used in this act means any governing body or governing or administrative officer of or for a municipal corporation, agency of state government, educational institution, association or other corporation, publicly or privately supported, having library responsibilities. The governing body or governing or administrative officer is that body or officer having the authority to negotiate and sign contracts, and pass resolutions, enact ordinances, issue executive orders, issue statements of participation or other official acts committing the corporation which the body or officer represents.

The term "fiscal year" means the year beginning January 1, and ending December 31.

The term "library" means a collection of a variety of books or other printed matter, audiovisual materials or other items in which knowledge is recorded; kept in a centralized place; for which a person who has knowledge of the materials, their arrangement, their use and of library skills is responsible; and which are for the use of individuals or groups in meeting their recreational, informational, educational, research or cultural needs.

The term "library facilities" means buildings, bookmobiles, rooms or other definable and palpable structures or areas and the library materials and equipment contained therein which are used in the operation or provision of library services.

The term "library services" means any or all of those activities in which libraries engage in the planning, managing, budgeting, financing, purchasing, staffing and evaluating of their libraries; in the selection, acquisition, processing and maintaining of their collections of materials and the related bibliographic records; and in the promotion, interpretation, servicing and use of their library materials and facilities.

The term "municipal corporation" means any subdivision of the State of Indiana. (Burns 41-1203) (IC 1971, 20-13-6-3)

ESTABLISHMENT -- RESOLUTION -- APPROVAL BY ATTORNEY GENERAL -- FILING

SEC. 4. Whenever the governing authorities of two (2) or more municipal corporations, state educational institutions or departments or other subdivisions of state government responsible for operating libraries or providing library services have adopted by resolutions, ordinances, orders, statements of participation or other recorded acts, a joint agreement calling for the establishment of a library services authority under the provisions of this act, there shall be initiated the library services authority specified.

Such joint agreement shall include the following details of the proposed library services authority: The name, to be given as ______________ Library Services Authority; official address and county of location of the principal place of business; description of the library services to be provided; specification of the place and of the convening chairman who shall set the date and the time of the organizational meeting of the board of directors and who shall serve as temporary chairman; the names of the governing authorities signing the agreement, and thereby members of the library services authority; and the date of the agreement.

Upon the adoption of the joint agreement calling for the creation of the library services authority by two (2) or more of the governing authorities, the agreement shall be submitted to the attorney-general of the State of Indiana who shall determine whether the agreement is in proper form and compatible with the laws of the state. The attorney-general shall approve any agreement submitted to him hereunder unless he shall find that it is not legal, in which case he shall detail in writing addressed to each of the governing authorities adopting the agreement for the establishment of the library services authority the specific respects in which the proposed agreement fails to meet the requirements of law. Failure to disapprove an agreement submitted hereunder within thirty (30) days of its submission shall constitute approval thereof.

The library services authority initiated by the joint agreement shall be legally established and the governing authorities signing the agreement considered members of the library services authority when the attorney-general has approved the agreement either by specific written approval or by the failure to indicate disapproval within the required time. A copy of the agreement and copies of the adopted resolutions, ordinances, orders, statements of participation or other recorded acts shall be filed in the office of the recorder of the county in which the library services authority's principal place of business is located, and with the Indiana State Library within forty (40) days of the date of the submission of the agreement to the attorney-general for his action. (Burns 41-1204) (IC 1971, 20-13-6-4)

PUBLIC CORPORATION

SEC. 5. The library services authority herein created shall be a municipal corporation, and any power or powers, privileges or authority exercised or capable of being exercised by a public agency of this state except that of levying taxes may be exercised and employed by such library services authority established under this act. (Burns 41-1205) (IC 1971, 20-13-6-5)

BOARD OF DIRECTORS -- TERMS -- OFFICERS -- ORGANIZATION

SEC. 6. Within ten (10) days after the legal establishment of the library services authority, each governing authority which is a member shall appoint its representative or representatives to the board of directors of the library services authority. When there are fewer than four (4) libraries in the library services authority, each governing authority shall appoint four (4) directors to the board of directors; when there are more than three (3) but fewer than ten (10) libraries in the library services authority each governing authority shall appoint two (2) directors; when there are ten (10) or more libraries in the library services authority, each governing authority shall appoint one (1) director. A director may be a member of the governing authority, a librarian, or any other person who in the opinion of the governing authority will best serve the library interests of the governing authority.

Upon the expiration of the ten (10) days, the directors who have been appointed shall meet as specified in the joint agreement and determine by lot, in as nearly equal groups as possible, the one-third (1/3) of the directors who shall have an initial term of one (1) year; the one-third (1/3) who shall have an initial term of two (2) years; and the one-third (1/3) who shall have an initial term of three (3) years. This determination shall be for the initial terms of office for all directors, present, absent, and yet to be appointed, if any. After the initial appointment all appointments to the board of directors shall be for three (3) years. Appointments to fill vacancies created by death, resignation or otherwise shall be for the unexpired term only.

Upon the determination of the initial terms of office of the directors, there then shall be selected by ballot and from nominations from the floor a president, a vice-president, a secretary and a treasurer, whose duties will be those normally incumbent upon those offices.

If the total number of directors of the library services authority exceeds eight (8), three (3) directors-at-large shall be elected, who with the officers shall be the executive committee. If the total number of directors is eight (8) or less, then the elected officers above named shall be the executive committee. Those so elected shall serve for a term of one (1) year, and shall not be elected to more than two (2) consecutive terms. In subsequent years there shall be selected by ballot annually, in the manner prescribed by the by-laws of the library services authority, directors, as specified above, to serve in these offices, and on the executive committee.

Immediately after the organizational meeting of the board of directors, the board shall draft and adopt by-laws providing for the board's procedures and management not otherwise provided in this act. (Burns 41-1206) (IC 1971, 20-13-6-6)

CHANGE IN AGREEMENT -- FILING

SEC. 7. Any detail or details of the joint agreement as specified in section 4 of this act may be changed upon the recommendation of the executive committee or petition of three (3) directors, and action by the board of directors at any meeting, provided that notice of the proposed change be sent to each governing authority which is a member of the library services authority at least sixty (60) days prior to the meeting at which change is to be considered.

Upon approval of the change of the joint agreement, a copy of the record of the action taken by the board of the library services authority shall be filed with the Indiana State Library and in the office of the recorder of the county in which the authority's principal place of business will be located, and if this is different from the county in which the previous place of business was located, notice also shall be filed in the office of the recorder of the county of the previous address. (Burns 41-1207) (IC 1971, 20-13-6-7)

BOARD OF DIRECTORS -- EXECUTIVE COMMITTEE -- DUTIES -- MEETINGS

SEC. 8. The board of directors of the library services authority shall be responsible for nominating and electing its officers and members of the executive committee; drafting and adopting by-laws for the conduct of business of the board and the executive committee; changing the address of the principal place of business of the authority; considering and acting upon recommendations of the executive committee in those matters specified in this section; and such other matters as may be appropriate.

The board of directors shall meet at least annually; special meetings may be called by the president or any three (3) directors. A majority of the board shall constitute a quorum for the transaction of business and a concurrence of a majority of the board of directors shall be necessary to approve or to authorize any action.

The executive committee of the library services authority shall take full charge of, manage and conduct the business of the library services authority except that amendments to the joint agreement; budget; statements of policy; rules and regulations; development program and plans; appointment of or arrangement for the chief administrative officer; legal matters; purchases of property and equipment costing more than two thousand dollars ($2,000); contracts for the purchase of services, materials, equipment, real or other property; sales of services or material other than those for which the library services authority was created; and the acceptance or release of members of the authority, and related matters, shall be approved by the board of directors.

In the discharge of its duties the executive committee shall meet at least quarterly; special meetings may be called by the president or any two (2) members of the committee. A majority of the committee members shall constitute a quorum for the transaction of business and a concurrence of a majority of the members of the committee shall be necessary to authorize any action. (Burns 41-1208) (IC 1971, 20-13-6-8)

NEW MEMBERS

SEC. 9. After the legal establishment of the library services authority as provided by this act, any governing authority, either public or private, having library responsibilities may become a member of the library services authority after (a) approval by a majority of the board of directors, (b) signing the joint agreement as then in force, (c) providing for its prorata share of the library services authority's budget for the fiscal year in which the applying library wishes to join the authority, and (d) meeting any and all conditions provided in the by-laws or in the rules and regulations: Provided, That if the governing authority is a private authority and its membership would create the same number or more private members than public members of the library services authority, then the membership shall not be effected until there are sufficient public members after the admission of the applicant to provide a majority of public members.

The representative or representatives appointed to the board of directors by a new member of the library services authority shall have terms of office as prescribed by the by-laws. (Burns 41-1209) (IC 1971, 20-13-6-9)

POWER AND AUTHORITY

SEC. 10. A library services authority shall have full power and authority to:

(a) Sue and be sued, plead and be impleaded.

(b) Establish or take charge of, manage, maintain and operate the library facilities and provide the library services specified in the joint agreement creating the library services authority.

(c) Employ a chief administrative officer and such other employees as may be necessary for the performance of the authority's functions or to provide for such officer or other employees by contract with a library member of the authority, with another organization, institution or company, with an agency of government or with an individual; fix and pay their salaries and compensation; determine their number and prescribe their duties; and remove or discharge employees.

(d) Purchase supplies, materials and equipment to carry out the powers and duties of the board.

(e) Acquire and hold property, real or personal, by purchase, devise, lease, gift or otherwise, and sell, exchange, or otherwise dispose of property, real or personal, no longer needed for the purposes of the authority.

(f) Prepare and adopt a budget covering the anticipated expenditures for each fiscal year and enter into a contract with each member of the authority for the prorata shares of the budget as provided in this act.

(g) Accept, receive and receipt for funds received from members of the library services authority, for federal funds, or for gift or other funds, budget the same and expend, without appropriation, the funds required in exercising the powers and discharging the duties of the authority. All funds received, unless specifically excepted by a condition or conditions, shall become the property of the library services authority.

(h) Adopt by-laws, administrative procedures, rules and regulations.

(i) Establish and maintain or participate in programs of employee benefits.

(j) Report annually to each governing authority which is a member of the library services authority on the budget and expenditures, services rendered, program, plans for development, and such other information as may be appropriate.

(k) Make and enter into all contracts and agreements necessary to the performance of the authority's duties and the execution of its powers under this act.

(l) Invest excess funds in interest-bearing securities of the United States, or any security lawfully issued by any county, township, city or other municipal corporation of the State of Indiana, or to deposit such funds in any duly chartered national or state bank whose deposits are insured by any federal agency: Provided, however, That no deposits shall be made in excess of the amount of insurance protection afforded a member or investor of any such institution.

(m) Establish such special funds as may be necessary for the purpose of accumulating sufficient money over two (2) or more fiscal years for the purchase of specified real property or major equipment, or for the making of improvements to real property owned by the library services authority. Each such special fund shall be for a specific purpose and shall be named for that purpose. (Burns 41-1210) (IC 1971, 20-13-6-10)

BUDGET -- PRORATA CHARGES -- MEMBER PAYMENT

SEC. 11. The executive committee, annually shall prepare a budget for the operating expenditures of the library services authority in the ensuing fiscal year and shall calculate the share of that budget to be charged to each governing authority according to the prorata formula in the rules and regulations approved by the board of directors of the library services authority. Such budget shall be prepared and submitted for adoption by the board of directors. After adoption by the board, the appropriate prorata charges shall be included in a contract submitted to each governing authority prior to May 1st for acceptance and inclusion in the budget of the governing authority.

Each governing authority of a municipal corporation which is a member of the library services authority and signs a contract for membership in the authority in the ensuing fiscal year shall annually levy a tax sufficient to produce in that year the necessary funds with which to pay its contractual obligation under its contract with the library services authority. (Burns 41-1211) (IC 1971, 20-13-6-11)

PUBLIC FUNDS -- BONDING -- PUBLIC RECORDS

SEC. 12. All funds coming into the possession of the library services authority shall be deposited, held, secured and expended in accordance with the general laws of the state relating to the handling of public funds. The handling and expenditure of these funds shall be subject to audit and supervision by the state board of accounts.

Any officer or employee of the library services authority who is authorized to receive or disburse or in any other way handle funds and securities of the authority shall give a corporate surety bond, in an amount specified in the rules and regulations, for the faithful performance of his duties and the proper accounting of all monies and property which may come into his hands or under his control. The cost of such bond, including the cost of filing and recording, shall be paid out of funds of the library services authority.

The records of the library services authority shall be considered public records. (Burns 41-1212) (IC 1971, 20-13-6-12)

TAX EXEMPT

SEC. 13. All property owned by the library services authority and all revenues received by the authority shall be exempt from taxation in the state for any and all purposes. (Burns 41-1213) (IC 1971, 20-13-6-13)

WITHDRAWAL BY MEMBER -- DATE -- NOTIFICATION -- DISSOLVEMENT -- LEGAL AND FISCAL OBLIGATIONS SATISFIED

SEC. 14. Subject to making due provisions for the payment and performance of its obligations, any governing authority which is a member of the library services authority may withdraw from the authority by resolution, or ordinance, order, statement of separation, or other recorded act of that governing authority and upon notification to the library services authority prior to April 1st of the last fiscal year in which the library discontinuing membership is a member of the library services authority. Upon discontinuing membership in the library services authority the discontinuing member relinquishes its rights to any funds, supplies, materials, equipment, real or other property held by or belonging to the authority and in which the discontinuing member had a right by virtue of its membership, unless provision to the contrary is made by the official action of the board of directors. Upon the receipt of such notification and the satisfaction of all obligations by the withdrawing member, the board of directors shall officially note the withdrawal and shall file notice of the resulting change in the joint agreement with the Indiana State Library and in the office of the recorder of the county in which the authority's principal place of business is located.

The library services authority shall be dissolved when the board of directors of the authority so vote, when such action is de facto by the notice of discontinuance of membership by the next to last remaining member or when the membership of the authority consists of a greater number of private governing authorities than public governing authorities. Upon the occurrence of any of these conditions, the board of directors shall dispose of the assets by division among the members at the time of dissolution and in the proportion and in the manner determined by the board of directors.

The dissolution shall not be in effect until all legal and fiscal obligations of the library services authority have been satisfied, and an official record of the dissolution is filed in the office of the recorder of the county in which the authority's principal place of business is located. Until such satisfaction of obligations has occurred and the record of dissolution has been filed, the final members of the authority shall continue to be members. (Burns 41-1214) (IC 1971, 20-13-6-14)

Approved March 4, 1967

V. Development and operation, either directly or by contract, of specific programs, including:

A. Contract with the Ohio College Library Center for use of their on-line computer system.

B. Development of programs for utilization of Machine Readable Cataloging (MARC tapes), including specifications for cataloging input of data into an Indiana data base via the Ohio College Library Center.

C. Development of detailed specifications for a state-wide interlibrary loan and resource sharing system.

D. Development of a centralized body of information on library cooperation, computer technology, and information retrieval systems and data bases.

E. Development of such other service programs as may be approved by the Authority, including, but not limited to, bibliographies and union lists, selective dissemination of information, automated cataloging services.

The Indiana Cooperative Library Services Authority is to lease, rent, or purchase such property and/or contract for such services as are necessary for the transaction of its business as provided under the provisions of the Library Services Authority Act (BURNS IND.STAT.ANN. Secs. 41-1201--1214; IC 1971, 20-13-6-1--20-12-6-14).

The member libraries adopting this Joint Agreement agree to appoint within ten (10) days after the legal establishment of the Authority a director to the Board of Directors of the Authority, which Board shall meet at 140 North Senate Avenue, Indianapolis, Marion County, Indiana, upon call of the convening chairman, Marcelle K. Foote, who shall set the date and time of the organizational meeting of the Board of Directors.

The Indiana Cooperative Library Services Authority herein created shall be a municipal corporation, and any power or powers, privileges or authority exercised or capable of being exercised by a public agency of this state, except that of levying taxes, may be exercised and employed by such Authority established under the Library Services Authority Act.

JOINT AGREEMENT

ESTABLISHING THE INDIANA COOPERATIVE LIBRARY SERVICES AUTHORITY

March 7, 1974

The governing authorities of the following public libraries located in Indiana:

together with the governing authorities of the following colleges and universities located in Indiana:

together with the governing authorities of the following special libraries located in Indiana:

together with the governing authorities of the following public school corporations located in Indiana:

all having library responsibilities, do hereby establish the INDIANA COOPERATIVE LIBRARY SERVICES AUTHORITY, located at 140 North Senate Avenue, Indianapolis, Marion County, Indiana.

The Indiana Cooperative Library Services Authority is to provide for the following services:

I. An administrative office and employment of a director and staff for the Authority and provision of basic equipment, supplies, and other resources to implement projects.

II. Development and refinement of a long-range plan for the Authority.

III. Effective liaison with library organizations and cooperative groups, in particular the Area Library Services Authorities in Indiana.

IV. Effective liaison with multi-state and national library networks and cooperative organizations.

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Note:
The logotype on the cover is an abstract representation of the Commission's goal of "equal access to information" for all citizens through interconnecting services and a central core of information.

Toward a National Program for Library and Information Services: Goals for Action

Prepared by

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and Information Science

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Preface

In June 1973 the National Commission on Libraries and Information Science (NCLIS) voted to direct its energies toward the preparation of a document describing a broad outline of a National Program for Library and Information Services.

After the first draft of the document was prepared, it was widely circulated throughout the library information community to solicit criticisms, suggestions and new data. On the basis of initial reactions, together with the additional work accomplished concurrently by the Commission, a revised document was developed and a new feedback cycle was initiated.

The present document is the result of the feedback process. It seeks to provide a framework on which the library and information science professions and the American public will be able to construct a National Program for Library and Information Services for the people of the United States. It reflects comments received by the National Commission on Libraries and Information Science in hundreds of letters from organizations, private individuals, testimony given at many regional hearings throughout the country, and opinions gathered at seminars and open forums conducted through the professional societies.

In this document can be found the basic justification required to substantiate the need for a National Program and for new Federal legislation. The Commission expects to recommend Federal legislation starting in 1976. That year, when we celebrate the 200th anniversary of this nation's independence, will be a most appropriate time to inaugurate a National Program for Library and Information Services that realizes the potential of the information revolution now underway.

Users of information, the American citizens, have been paramount in all of the Commission's deliberations. The proposed program aims to increase each person's access to the nation's rich knowledge resources.

The Commission is aware that the adoption of new information techniques requires careful planning, patience and a great deal of cooperative effort by many people. To assist it in perceiving the problems of transition, the Commission sought the advice and guidance of many specialists in different fields. Their monographs on various relevant topics and issues are listed on page 85 for the reader's reference.

It should be stressed that this National Program Document has no official status. It sets forth the Commission's conclusions and goals for action which can be taken toward the formulation of a national policy. Its realization depends upon the approval of the Congress and the President, state legislatures and officials, all those responsible for and interested in library and information services, and, ultimately, upon the support the program receives from the United States citizenry.

The members of the National Commission on Libraries and Information Science join me in thanking all those who have assisted in the development and revision of this National Program Document. This document is a dynamic, long-range plan and, as such, will undergo constant scrutiny and revision. It is our intention to issue a revised edition of the National Program Document within two years. We welcome your continuing suggestions and constructive criticism.

I wish to take this opportunity to acknowledge the contributions and efforts of the members of the National Commission in the development of this document, especially the Commission's National Program Committee consisting of, in addition to myself, William Baker, Carlos Cuadra, Leslie Dunlap, John Lorenz, Bessie Moore, and Joseph Becker, Chairman. Special thanks and appreciation must go to Mr. Becker for assuming the major responsibility for drafting the National Program Document. I am also appreciative to Roderick Swartz, formerly Deputy Director of the Commission, for his help in preparing the second draft, and to Alphonse F. Trezza, Executive Director of the Commission, for his efforts in the revision and preparation of the third draft and the final manuscript.

Frederick Burkhardt
Chairman
May 1975

Introduction

The National Commission views authors, publishers and librarians as the principal participants in the production and dissemination of the intellectual and technical knowledge which powers our national development and nurtures our educational system. They are component parts of a national knowledge resource * that must be strengthened, integrated and sustained for all the people of the United States to use as needed in the course of their personal and economic pursuits.

National concern for protecting and improving the nation's knowledge resources is evident in many past actions of the Congress and in the growing number of legislative proposals calling for specific information programs. The Office of Management and Budget in the Executive Branch of Government has also stressed the need for orderly growth and wise management of library and information facilities within the Federal Government.

If our nation is to achieve the most effective use of national information resources and the largest return for funds invested in them, common goals, objectives, methods and standards are needed now for the coordinated development of information facilities. Unless a coordinated program is established on a nationwide level, expenditures, facilities, and efforts will be unnecessarily duplicated, and interconnection will become increasingly difficult as local, state and multistate systems develop without benefit of a common purpose and a common approach.

The Commission believes that the existing pattern of libraries serving limited geographic areas or various special interests will lead to costly, uneven and wasteful services if steps are not taken now to provide a firm foundation for their future development. Accordingly, the Commission believes the time has come to develop a nationwide program which would weld together today's collection of disparate parts into a nationwide system of library and information services.

Essentially, the National Program formulated by the Commission is based on five major assumptions:

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* The word "knowledge" in this document is used interchangeably with the word "information."

First, that the total library and information resource in the United States is a national resource which should be developed, strengthened, organized and made available to the maximum degree possible in the public interest. This national resource represents the cumulated and growing record of much of our nation's, and indeed, much of the world's, total cultural experience—intellectual, social, technological, and spiritual.

Second, that all the people of the United States have the right, according to their individual needs, to realistic and convenient access to this national resource for their personal enrichment and achievement, and thereby for the progress of society.

Third, that with the help of new technology and with national resolve, the disparate and discrete collections of recorded information in the United States can become, in due course, an integrated nationwide network.

Fourth, that the rights and interests of authors, publishers and other providers of information be recognized in the National Program in ways which maintain their economic and competitive viability.

Fifth, that legislation devised for the coherent development of library and information services will not undermine constitutionally-protected rights of personal privacy and intellectual freedom, and will preserve local, state and regional autonomy.

The National Program derives from regional hearings held throughout the country, and from conferences, informal discussions, and correspondence with professional, technical, governmental, educational, and other experts, as well as with library users, whose interests in the emergence of an information-centered program attracted them to the work of the Commission. The Commission's working philosophy is user-oriented. It is the Commission's intent that the user of information—including potential, as well as current users—should be the principal focus of a National Program.

The Commission's current goal is to develop a plan for a flexible network of information services to meet the immediate and foreseeable information requirements of the greatest possible number of people. The Commission will therefore continue to concentrate its efforts in the years ahead on this ideal:

> To eventually provide every individual in the United States with equal opportunity of access to that part of the total information resource which will satisfy the individual's educational, working, cultural and leisure-time needs and interests, regardless of the individual's location, social or physical condition or level of intellectual achievement.

To make progress toward the attainment of this goal, the Commission has developed two major program objectives: (1) to strengthen, develop, or create where needed, human and material resources which are supportive of high quality library and information services; and (2) to join together the library and information facilities in the country, through a common pattern of organization, uniform standards, and shared communications, to form a nationwide network. Such a program must have incentives strong enough to encourage maximum cooperation and participation, not only by states and local governments, but by interested public and private agencies as well.

Although the Federal Government would have responsibility for aiding in the development of compatible state and multistate networks, furthering common practices, performing relevant research and development, increasing coordination between the private and public sectors, improving access to the information resources of Federal agencies, and performing other relevant functions, the Federal Government would neither directly control nor operate the nationwide network, and, in particular, it would exercise no control whatsoever over the information content exchange over the network.

Furthermore, the nationwide network proposed by the Commission would not be a monolithic and authoritarian superstructure, but would form a shelter and framework for families of geographic and functional networks developed and interconnected according to a comprehensive plan. There currently exist many networks of varying sizes, all of which must be integrated, starting at the local, state and regional levels and building upward.

It is important to point out that the concept of a "nationwide network" does not imply the absurd notion that only one copy of a particular book or publication will be sufficient for the entire country to use. People need material at the most immediate and most accessible level, and the Commission believes that a national plan must, therefore, be built upon strong local resources. An ideal nationwide network requires provision of local holdings of sufficient scope and quantity to satisfy the immediate needs of local users.

In the same vein, the concept of a nationwide network does not imply a substitution of computer technology for human resources. As in the past, the bulk of user services would be delivered at the local level, but the network would provide the additional back-up resources as well as the communication directions for reaching specialized materials and information in other libraries and information centers when these are needed locally.

The Commission's National Program, as described in this document, is intended to provide the general basis for new Federal legislation. It will help to focus public and professional attention on the critical library and information problems facing the nation today, and it will lay the foundation for a major upgrading of library and information activities, an expansion of cooperative services throughout the nation and planned system development.

Chapter I

The Need for a National Program for Library and Information Services

In establishing the National Commission on Libraries and Information Science (Public Law 91-345), Congress affirmed that "library and information services adequate to meet the needs of the people of the United States are essential to achieve national goals and to utilize most effectively the nation's educational resources." It called on the Federal Government to "cooperate with state and local governments and public and private agencies in assuring optimum provision of such services." Furthermore, the law authorized the National Commission to "promote research and development activities which will extend and improve the nation's library and information-handling capability as essential links in the national communication networks."

The Resources

Information, whether in the raw form of empirical data, or in the highly processed form we call "knowledge," has come to be regarded as a national resource as critical to the nation's well-being and security as any natural resource, such as water or coal. The wealth of popular, intellectual, scholarly and research resources in the libraries and information facilities of the United States is one of the great strengths of the nation. But like many natural resources, knowledge resources, uncoordinated in growth and usage, are in danger of being wasted and inefficiently utilized.

In advanced societies, a substantial part of the culture is handed down to successive generations in the form of recorded knowledge. This resource consists of books, journals, and other texts; of audio and visual materials; and of smaller units of information or data that can be separately manipulated, as by a computer. In recent years, these records have become increasingly varied—through technological extensions of written words, pictures and sounds. For example, a significant part of the country's information resource is now on film, on video tapes and in computer files. As the nation's knowledge grows and the number of records increases, our dependence on them increases, and the need to gain access to them becomes more crucial. "No society can advance beyond a certain point without effective access to its collective memory of record, or conversely, an advanced society that loses control of the record will regress." [1]

In the United States information is created, stored, processed and distributed by a vast array of diverse information activities in the private and public sectors, employing millions of people and dealing with billions of dollars, using widely varying technologies to achieve equally widely varying objectives. The publishing industry, indexing and abstracting and other access services, the communications media, and private and public information services are just a few of the many and varied elements that make up the rich mosaic of the contemporary information scene. The more than 8,300 public libraries,[2] thousands of school libraries, libraries in colleges and universities, armed forces, law, medical and religious libraries, special libraries, and information analysis centers, as well as other information facilities in the public and private sector, serve as custodians and dispensers of recorded knowledge in every form.

Libraries and other information facilities are the custodians of that part of our cultural heritage which is recorded. They must be adequately equipped, organized, financed and interconnected if their resources are to be made available to all the people of the United States. This, the Commission feels, can only be brought about with the help of the Federal Government, in full cooperation with state and local governments, and related public and private agencies and institutions. The Federal Government has a continuing responsibility to implement innovative, flexible measures that will ensure the continuing development of libraries and information services.

The Need for Access

Ready access to information and knowledge is indispensable to individual advancement as well as to national growth. The right information provided when it is needed, where it is needed, and in the form in which it is needed, improves the ability of an individual, a business, a government agency, or some other kind of organization, to make informed decisions and achieve particular goals.

Users are individuals, each with unique informational, educational, psychological, and social needs. A person may need "practical knowledge" to solve immediate problems in his daily life and work. There may be a need for "professional knowledge" to further his continuing education. Or there may be a need for "intellectual knowledge," the kind that furthers his understanding of the arts, humanities, and sciences, and which enriches the individual's personal life. Reading for pleasure, pursuing an innovative idea, or exploring knowledge just to satisfy one's innate curiosity, are other valid motives for reading, listening or looking. In addition, people feel the need for ethical, religious and philosophical insights.

Organizations, like individuals, need information and knowledge. Business organizations need facts and data to forecast a market, develop a new product, or adapt a new technology. Schools need information to improve and extend the learning process. Research organizations need information to synthesize new data with known facts as part of the creative process. Government needs information at every level to formulate plans, refine decision-making, and help government workers to anticipate and resolve problems.

The 93rd U.S. Congress accurately described the character of the national information need in Senate Joint Resolution 40 (P.L. 93–568) which authorizes a White House Conference on Library and Information Services. The law states that ". . . access to information and ideas is indispensable to the development of human potential, the advancement of civilization, and the continuance of enlightened self-government."

It is almost impossible to generalize in assessing user needs. To understand the variety of user needs for library and information service and the extent to which they are being met, the Commission has conferred with many individuals and groups representing different constituencies. It is clear that library and information needs are felt at all levels of society, regardless of an individual's location, social condition, or level of intellectual achievement. Although library and information needs are not the same in all parts of the country, and although they vary widely among people by age, ethnic origin, educational achievement, work assignment, geographic location, and many other factors, most people feel some dependence on the availability of accurate and useful information.

User needs can be described from several perspectives. For example, the retarded, the illiterate, the blind, the visually handicapped, the physically handicapped, and the institutionalized require highly specialized resources and services. The immediate informational and library needs of young adults include easy access to library materials such as paperback books, phonograph records, reference materials, and audiovisual materials. Various ethnic groups, such as American Indians, Asian Americans, Black Americans, and Hispanic Americans require not only the traditional level of library and information service, but also various kinds of special help. For example, they need materials and services in their own language, or help in reading English, or specific knowledge such as where to go for a job. Users in the professions, such as the scientist, the researcher, the scholar, and the lawyer, require information for increasing their own productivity and for their continuing education. They often need information quickly, and some of them are accustomed to using computers, telecommunications, and other technology, if necessary, to get it. In addition, there are those whose information needs are affected by their location—the rural population and others in remote areas who do not have direct access to major resources as do their counterparts in metropolitan areas. Other user groups, such as senior citizens, the very young, and the poor, need still other kinds of services and resources.

The Commission is keenly aware that much more must be done to develop systematic understanding of the information needs of various special constituencies in the United States such as the economically disadvantaged, the uneducated and the handicapped. We need to know who they are, where they are, what they need, how fast they need it, and the cost and value—to them and to society—of increasing their access to information and knowledge. We also need to know who the nonusers are, what information services are important to them, why they do not use the existing facilities, and how to motivate and educate them so they will make use of such facilities.

The Challenge

America has an abundance of recorded information, not a shortage. However, this precious resource is concentrated in relatively few locations, often virtually inaccessible to millions of people, and is lying largely untapped. Thus, the challenge is to find the means for making these resources available to more people through an effective identification, location and distribution system. Many local library facilities and procedures designed for other times and conditions can no longer cope with the ever-increasing volume of information produced in this country and abroad—nor can they fully satisfy the rapidly-changing information needs of our society.

The information-dependent institutions in our society—business, industry, agriculture education, government, professional societies, and others concerned with information service—are alarmed by the deteriorating ability of some information facilities to meet the essential needs of their constituents. In some fields, such as medicine, where the need is great and perhaps better understood, Congress has passed special legislation for development of information systems tailored to those specific requirements. These have been successful. In other fields, where the need is no less great, there has been little or no Federal activity. Local programs to improve libraries and provide better information services have usually been uncoordinated—lacking in continuity, overall leadership and sufficient funding. The nation must take steps now to strengthen and organize these resources into a coherent nationwide system, or it may soon face a form of information chaos which will sap the nation's intellectual energy and weaken its educational structure. Although information and knowledge exist in prodigious quantity in our country, they are unevenly distributed, and we often do not have the means to move relevant information to those who need it at the time they need it.

New networks can be developed where required and existing ones can be extended to allow requisite information to be moved to individuals and groups, some of whom can scarcely be expected to travel to the established information resources available today. If this is not done, the nation's ability to adapt to changing environmental, societal and political conditions and to find solutions to major problems is diminished. Without valid and timely information, the economy can atrophy;

without current and reliable information, society and government may falter; without relevant and useful information, individual development can languish; and without adequate means for distributing information, new knowledge backlogs.

Libraries and information centers in the United States are not developing according to any national plan, and consequently, from a systems viewpoint, their growth continues to be uneven and lacks cohesion. There are gross inequities in library service in the United States today. A new philosophy of library and information service is needed, one based on a common sense of direction and purpose, a commitment to national cooperative action, and a consistent program of equalization.

The scope of the Commission's charge by Congress encompasses the library and information needs of all the people of the United States. It is the Commission's view that the time to introduce remedial and innovative reforms is now, and not later when the information crisis has become worse. Consequently, the Commission has directed its efforts toward planning a new nationwide program for better, faster, and more effective library and information services, a program which would eventually provide people everywhere in the country with access to broad reserves of intellectual energy, so that they may lead full, satisfying, and productive lives as creative and responsible members of society.

The Influence of Technology

This nation's future capability to handle information effectively will, to an important degree, depend on how well and how rapidly we are able to integrate new technological methods and devices into the mainstream of our information activities.

Libraries are affected by four new technologies: computers, micrographics, telecommunications, and audio-visual media. The use of computers in libraries has already been pioneered. However, direct application of computers in libraries has been focused mainly on housekeeping functions; the computer's potential for recording, analyzing, and retrieving information has not yet been fully explored and realized. In addition, there are critical shortages of trained human resources and funds to help libraries convert from manual to machine methods.

The use of micrographics for preservation and compact storage is increasing but is far from widespread. While many publishers are making books, journals, and even entire libraries available on microfilm, there is still user resistance to materials in microform because special equipment is required for reading. In order for anyone to read the information in a small microphotograph, it must be magnified for viewing. Lack of an inexpensive portable reader, lack of standardized forms of film, and related equipment incompatibilities, have seriously slowed the rate of acceptance. It has become clear, however, that microfilm technology offers considerable potential for space and cost savings in libraries and represents a new era in information transfer. Together with the computer and telecommunications it promises to become a powerful force in shaping future library and information systems.

Libraries have been reasonably active in acquiring audiovisual materials: films, filmstrips, slides, audio cassettes, videotapes, video cassettes, and computer tapes. Unfortunately, capable personnel to handle such materials are in short supply, and the equipment is not only complex and expensive, but, in many cases, so little standardized that it causes difficulty and confusion to the user. A critical source of evaluation is needed to cope with the profusion of new and often incompatible devices that continually appear on the market.

Community Antenna Television (CATV), also known as cable television, is a technology still in its infancy. CATV stations have very powerful antennas that enable them to capture TV signals from many distant transmitters and retransmit the signals to the home through underground cables. Today, the technology embraces versatile broadband communication systems capable of providing the subscriber, by means of cable, with many channels and, potentially, two-way communication of both picture and sound, facsimile service and access to data processing. It thus becomes possible to bring sound and picture answers to information questions directly to individual home TV sets, over CATV educational channels reserved by Federal Communications Commission regulations for this purpose. Although there have been some library experiments exploring the possibilities for developing new library services and providing remote use of present services, much more needs to be done before the full potential of CATV for library applications is realized.

The potential for telefacsimile reproduction among libraries is very promising, but present costs per page of transmission and copyright considerations hamper its extensive use.

The joining of such diverse technologies as computers and telecommunications represent a new capability of great potential value to the United States. As yet, the nation has not perceived the far-reaching consequences of being able to distribute information to distant points with relative ease. CATV systems and computer data banks are just beginning to be used by libraries as means for information dissemination.

In the last decade, technology for the creation, processing and transmission of information has been vastly extended. Numerous on-line computer information systems are operating, and it is now realistic to consider harnessing the power of technology for new systems of organization, retrieval and distribution of information through networks. Advances in technology, and in information practices, occur each year. The Commission believes that the potential of the new technologies must be utilized to the fullest extent possible, and that this potential can be realized only by means of coordinated planning and adequate financing.

National planning for information technology is essential for several reasons. First, information technology is costly, and a long-range commitment from the Federal Government is required for sharing costs, contributing to research and development, and ensuring the stability of the program. Second, information technology is complex, and a common sense of technical direction at the national level is imperative, if all relevant agencies are to coordinate their activities effectively. Third, information technology is specialized, and its implementation will depend upon the technical education of the people who will work with it. And, finally, information technology breaks down former barriers to access.

Its introduction, therefore, invariably alters traditional ways of doing things and necessitates national concentrated attention on re-education of the specialist and the user.

There are two other important reasons to plan on the national level: (1) the rising cost of conventional library operations requires that information activities develop cooperative arrangements, which, if done outside of a national context, will be very difficult to interrelate; and (2) today's Federal policy decisions with respect to telecommunications can greatly affect information practices for many years to come.

A Threshold Issue

Resolution of the complex problem of copyright is crucial to the continuing development of cooperative programs and networks among libraries.

It was the Copyright Law which enabled the United States to achieve for its people the freest, the most uncensored, and the widest dissemination of information in history. Copyright is, in fact, the Constitutionally prescribed means for promoting the progress of science and the useful arts.[3] It provides the creator a limited monopoly, not in the ideas, but in the form in which they are embodied.

In recent years, because of the widespread introduction of easy-to-operate copying machines and simplified means for distributing information electronically, the issues relating to copyright protection have grown increasingly complex. If the nation is to maintain the open and free society we enjoy today, with broad dissemination of information, then an updated system of copyright is absolutely essential.

Copyright issues are now before the Congress. An eventual solution must address the "threshold problem" of reconciling the rights and interests of authors, publishers, and other providers of information—in order to encourage the continuing creation and dissemination of their intellectual work—with the interests of the user in obtaining ready access to these works. The judicially constructed doctrine of "fair use" provides only a partial answer to this problem, and new solutions must be worked out which will maintain the economic viability of publishing in the context of new technological means of reproduction and electronic distribution.

The Commission believes that it is essential that the needs of networking systems should be among those considered by the Congress in devising new statutory provisions, and that a sound and clear copyright policy be worked out which retains incentives for those who create and disseminate cultural and intellectual materials.

Workable means must also be found whereby the library community can satisfy its legal and moral obligations to the author and publisher while meeting its institutional responsibilities to its patrons. In the meantime, the Commission encourages efforts to clarify the distinction between copying that does not require permission and compensation and that which does. It also encourages efforts to establish means by which permission, when required, be readily obtained. Finally, it encourages efforts to establish cooperative arrangements between libraries and publishers, possibly with the use of computer networks for processing, for obtaining permission or licenses and accounting for usage.

The Rationale for Federal Involvement

While the Federal Government appears to be broadly aware of the part played by libraries and information centers in national growth and economic productivity, the Commission believes that now is the time for the Federal Government, in cooperation with state and local governments, to treat information as a national resource. The Commission believes that the concept of a National Program for Library and Information Services is a highly appropriate focus for governmental action because the concept is designed to blend:

> user needs for information that are more pressing than ever before; with
>
> information technology that is nowhere more strongly developed than in the United States.

It should be recognized that the United States, though it may now have an unusual opportunity to plan its "information economy," is not alone in this position. Japan, West Germany and other countries have published national papers which attest to the importance of national information policies and networks. Norway has been working effectively for the last few years through its National Office for Research and Special Libraries, and in Great Britain, the British Library Board has made remarkable progress under its recent charter. If we, in this country, fail to link our own resources together nationally so that all can use them, we will be neglecting a very significant contribution that we can make to the quality of our life and the productivity of our people. We may also be missing the opportunity to join other nations in sharing resources on an international level.

The implementation of a workable national program requires close cooperation between the Federal Government and the states, between state and local governments, and between the Federal and state governments and the private sector. Such cooperation is most appropriately fostered through Federal legislation that would adopt as its prime philosophical goal equal opportunity of access to the nation's library and information services. Practically, it would seek better organization, development, coordination and management of the nation's libraries and information facilities and services.

Chapter II

Current Problems of Libraries

The previous section addressed the urgency of dealing with the problems of information in the United States and described the Federal Government's responsibility for coordinating a nationwide program which would provide, as an ideal goal, that every individual in the country have equal opportunity of access to the information and knowledge he needs.

Any program of this magnitude, however, requires that the current situation be assessed and understood before specific recommendations are made for future improvement.

There are almost 90,000 libraries in the United States today.[4] They vary in size and complexity from small village facilities with only a few shelves of books for recreational reading to large research libraries with magnificent collections on many subjects. Collectively, they are the foundation on which a nationwide information network should be built. The fact that problems and deficiencies exist in no way denigrates the successes and achievements of the past. On the contrary, the purpose of presenting problems and deficiencies is to take stock and to build on the best of what is available.

Public Libraries

Public libraries in the United States are facing new problems with respect to their internal operations. Financial support is not keeping pace with increasing costs; and the libraries are under increased pressure to give service in more breadth and depth to a wide range of users who vary in age, education and interests. They are limited in their ability to tap new technological sources of information, and they are constrained from upgrading their present manual methods to automated systems. In many instances, these problems have caused the public library to extend its normal resource sharing activity by affiliating with technical processing cooperatives, depending on larger libraries for backup, expanding interlibrary relationships, and joining public library systems and networks outside their local jurisdictions.

More than any other type of library, public libraries are close to the people in the communities in which they exist. Each is governed and managed by a board of trustees which reflects the interests and needs of the residents of the library's service area. The strength of the public library is its democracy, its service to all the people across age, ethnic, economic and cultural lines. It caters to children, to young adults, adults, and to senior citizens; and it is a major educational force in American life. Public libraries, including the smallest, are the backbone of the library system in America, and are the potential windows on any future nationwide network. Therefore, a great deal depends on the strength of their human and material resources and on their ability to undertake new programs of value to their constituents. Most public libraries are well below the minimum American Library Association standards and are inadequate to meet the information needs of the public. The public library, particularly in large metropolitan centers, is in a state of flux, and major changes in its funding and operating philosophy must occur, if it is to serve its community effectively in the future. Financial studies indicate that local sources of revenue alone will be insufficient to meet the public's demand for new programs, new construction, and new staff.[5] Moreover, recent developments give disturbing evidence that public libraries are seriously threatened by deficit budgets resulting from cuts in municipal budgets or failure to get Federal revenue sharing funds. Balanced intergovernmental funding at the local, state, and Federal levels is essential to achieve the content and quality of public library services commensurate with the needs of modern society.[6]

Special Libraries and Information Centers

Special libraries and information centers make an important contribution by supplying information needed by Americans. Typically, they exist to serve the interests of the organizations of which they are a part, whether in the private or public sector.

Special libraries are found in businesses, industrial corporations, government agencies, museums, hospitals, newspapers, radio and television stations, and professional and trade associations. Some concentrate on specific materials, such as maps or pictures. They vary in size from large installations comparable to college libraries to one-person information services. Taken together, special libraries represent a collection of information resources which treat specialized subjects in depth, emphasize up-to-dateness in the information they collect and disseminate, provide a capability for quick response, and often use automated techniques for data storage and manipulation. Many special libraries in the United States have collections of material, or in-depth files of information, which are the most complete and the best organized of any resources on particular subjects in the country.

Because of their identification with their parent organizations, they may be less familiar to the general public than public and academic libraries. Lack of knowledge of the location and availability of these specific collections has been a barrier to their use beyond their own jurisdiction, as has the inclusion in them of certain materials proprietary to their respective organizations.

The Commission believes that a great many citizens with complex, work-related information problems are not now being served by such specialized information services. If meeting work-related information needs is as important as the Commission believes, then devising a mechanism by which selected holdings and services of special libraries can be made available to more people throughout the country would be extremely beneficial to the nation. Every effort must be made to include the resources of special libraries in the development of a nationwide network.

School Libraries and School Media Programs

School libraries, public and private, are important in the personal, intellectual and social development of the American child. They house the many materials required by the child for formal teaching-learning activities, and they represent the primary access point in school to which the child comes to find recorded knowledge. The school library often gives the child the first exposure to information resources and molds the child's information behavior for the future. Thus, the school library plays an essential part in readying the child for an adult role in society.

In addition to acquiring and making available books and magazines, school libraries are also becoming media centers. Audiovisual materials of every description—slides, films, filmstrips, audio and video cassettes, etc.—plus the equipment on which they are played, are a new responsibility of the school library. Presently, school media programs daily serve over 40 million students, administrators, teachers and staff, and in some communities provide service to parents and the public as well.

Despite its fundamental role in educating the child and in shaping his future information habits, the school library is deficient in many ways. In most cases, school libraries are operated far below American Library Association (ALA)/Association for Educational Communications and Technology (AECT) standards. Generally, they do not have enough books and audiovisual materials to support the varied facets of the curricula; many do not have professional personnel and must rely on volunteer assistance. Innercity schools are usually too crowded to even have space for a library. School librarians, where they exist, usually do not have any clerical help or supportive staff which is technically trained to take full advantage of the new educational technology.

The Commission endorses existing media standards and encourages all schools, both public and private, to work toward their implementation as soon as possible.[7]

Within recent years, school libraries have begun to devise new programs for sharing resources and coordinating media activities. Although many boards of education and school librarians see the potential benefits clearly, recent reductions in Federal funding have slowed down this trend. The proposed consolidation of categorical aid programs for elementary and secondary schools would have a further negative effect upon cooperative efforts. Local resources at the school library level will always be needed to serve the child and support formal education. For this reason, it is important to strengthen the school library and school media centers, so that they can meet existing standards and function effectively as integral components of the school environment. Access to the broad resources of a nationwide network would provide added value by increasing the child's opportunity for independent study and adding to his ability to become a literate, well-informed citizen, capable of lifelong learning in a rapidly changing world.

University and Research Libraries

The major research libraries in the country, both private and public, represent the bibliographic foundation of the nation's research effort. They participate actively every day in the distribution and exchange of books and other materials to sister institutions all over the country. Collectively, these institutions serve students, faculty, scholars, and researchers who are engaged in work in the sciences and the humanities, as well as the general public. Like the universities in which most of them are situated, research libraries are confronted today with rising costs, a rapidly changing set of educational objectives, and the impact of new technology. With the publishing rate increasing and the dollar shrinking in value, research libraries are finding it increasingly difficult to cope with their work loads and are unable to meet all of the varied demands placed on them. As a group, however, they have begun some cooperative efforts to improve their own operational efficiency (e.g., streamlining interlibrary loan procedures, standardizing approaches to computer use, developing coordinated and/or cooperative acquisition programs, and sharing resources). They have also defined a long-range program for collective action to help overcome existing problems by:

> introducing new means for extending access to recorded information;
>
> ensuring a natural capacity for continued development of distinctive collections and resources;
>
> initiating research and development activities of common concern;
>
> creating a national bibliographic data base in machine-readable form;
>
> developing a national program for the preservation of research materials.

Research libraries in the United States have combined resources of over two hundred million volumes. They are prepared to share these resources with others; indeed they are now sharing them through a growing system of interlibrary lending. However, under the existing arrangements the larger libraries, which lend more volumes than they borrow, bear a disproportionate burden. While seeking to improve and extend such service, the research libraries need financial assistance to help them correct sharing imbalances and permit them to serve more users than just their primary clientele.

Many research libraries have collections of unique scope and quality. The maintenance, preservation, and development of these collections are responsibilities that must be shared if they are to continue to serve as a national resource. Research libraries must deal with the effect of rapidly rising costs upon all of the services they customarily provide. The present costs of supporting instruction and research are such that most libraries are without the necessary means to undertake more innovative and effective programs. If the Federal Government could provide sufficient research and development funds, it would permit these libraries to experiment with various forms of collective activities that would serve, not only local needs, but state, regional, and national needs as well.

Although the major research libraries have evolved independently, there is a trend today toward greater interdependence among them. Their combined resources represent an asset of great value to the nation, and the Commission believes it is in the best interests of the country to assist these important institutions in forming a stronger set of working relationships that will permit them to serve more, rather than fewer, people. Federal assistance in establishing centralized bibliographic services, in developing technical standards for computer and communication usage, and in helping to sustain a select number of unique collections, are among some of the actions the Federal Government can take toward making research libraries active participants in a nationwide network. While the Commission does not advocate total subsidization of collections by the Federal Government, it does see the need for developing criteria by which certain repositories of information, both publicly and privately supported, are partially nourished by the government in exchange for their wider availability to the general public.

The Commission believes that the problems facing the research libraries cannot be solved by the individual institutions acting alone, or through local or state jurisdictions alone. Some combination of Federal, state, local and private support is needed if these institutions are to function most effectively.

Other Academic Libraries

With some exceptions, college and junior college libraries, both publicly and privately supported, are inadequate. In some cases, the libraries are so poorly housed and stocked that the quality of the instructional program is seriously impaired. Very often newer colleges enroll students before adequate library resources are on hand to support their studies. National standards which stipulate a minimum of three professionals—one for administrative duties; one for reference and circulation; and one for cataloging—are rarely met in the smaller colleges. As a result, many of these campuses lack the staff and library services they need and are unable to improve their situation.

After 1945, when college enrollments and budgets were on the rise, some colleges were able to expand their library programs. Those that did now have strong collections for their undergraduate users. Many other libraries, however, were less fortunate, and several constraints in the past few years have kept them from remedying the situation. Inflation, the information "explosion," changing curricula, decreasing enrollments, and decreasing budgets are some of the reasons for their slow growth. With acquisitions being curtailed, college libraries are in a declining situation, and their ability to be responsive to the demands of their students and faculty is diminishing. College and junior college libraries borrow more than they lend, and a national cooperative program would increase their ability to satisfy the specialized demands of their constituents.

State Library Agencies

State library agencies generally perform several major functions: (1) they serve as a regular library for state government employees; (2) they serve as a statewide resource center for interlibrary loan and reference; and (3) they provide a focal point within the state for long-range, statewide library planning and development.

During the past twenty years, Federal funding has enabled same states to enrich their library programs and even, in some instances to establish state library agencies where none existed before. However, the level of development among the fifty states still varies widely in terms of scope of responsibility, authority and organization. In some states, the state library agency is an adjunct of the State Education Department, and, in other states, it is an independent agency or separate department. Support of state library agencies varies considerably. Some states provide strong support in terms of basic budgets and state aid for public libraries and multitype library cooperation, while others provide minimal support to the state library agency and only token assistance to statewide programs.

Thus, state library agencies are struggling to establish a new functional role in the library community that will change their image from that of an extension service to public libraries (an operating responsibility) to one of leadership in the evolution of library systems and information networks (a policy-making and coordinating responsibility).

Public libraries, in some states, have led the way toward system and network development. Today, however, the state library agency must assume the responsibility as the coordinator of such development for all types of libraries and information activities within the state. Sustained state and Federal funding will enable the state library agency to develop new referral patterns, utilize new technology, and create new interface activities to ensure that the total library and information resources of the state are used effectively and efficiently.

Federal Libraries

Within the Federal establishment the United States government operates more than 2,300 libraries which support specific Federal statutory missions and have, as a consequence, accumulated specialized resources of major significance. In particular, the Library of Congress, the National Library of Medicine, and the National Agricultural Library possess important national collections.

Although some informal cooperative efforts among Federal libraries do exist, they are not yet organized as a formal network. However, Federal librarians meet periodically to discuss programs of common interest, and, to a limited extent, they share resources and engage in cooperative education and training programs. Through the Federal Library Committee, the Federal library community is striving to achieve greater coordination. A proposal to form a Federal library network which would function as a major component of a national information network is presently under study by the Federal Library Committee. The Federal Library Committee was established in March 1965 at the initiative of the Library of Congress, with the cooperation of the former Bureau of the Budget, to improve coordination and planning among research libraries of the Federal Government, so that common problems might be identified, solutions sought, and services to the government and the nation improved. Currently, the primary responsibility of most Federal libraries is to serve their departmental personnel. Most Federal libraries do recognize the value of serving the general public, but few can do so because of budgetary and administrative constraints. A serious need exists, therefore, to promote their use more widely. To enable more Federal libraries to make their resources available to the public will require specific authorizing legislation or specific fund allocations.

Many Federal libraries do not enjoy the full support of their agency administrators. The latter frequently consider libraries to be part of overhead—no different from such categories as supply, mailroom, inventory, etc. In an effort to change this attitude, some libraries have changed their name from "library" to "information center," hoping this new phrase will more aptly convey the substantive character of their function. Federal libraries need to be strengthened in many ways to enable them to serve a larger section of the population.

An entirely different set of problems besets another segment of the Federal information community. This is the group of activities established in various departments to maintain bibliographic control over, and provide dissemination of technical reports. The major organizations in this field include: the National Technical Information Service (NTIS); the Defense Documentation Center (DDC); the NASA Scientific and Technical Information Facility; and the Educational Resources Information Center (ERIC). Among these information services the government has placed under control several million technical reports and has made copies of these reports available to large constituencies. Unfortunately, each started as a mission-oriented operation, concerned with a limited body of information and with a limited clientele. This is reflected in the substantial differences in their operations. The results have been confusion, frequent duplication, and, not surprisingly, underutilization. The development of common standards, consistent policy, and greater coordination in this area is crucial to a truly effective National Program.

At present, there is no governmentwide policy concerning the process by which new Federal libraries and information services are established. As a result, duplicate collections can easily be built. To avoid such costly errors, all agencies should be required to consider alternatives like: (1) contracting for information services with an existing Federal information service or library; or (2) contracting with the private sector for such services; or (3) developing network arrangements in the public and private sectors to satisfy the new need for information.

It has been suggested that government agencies should not initiate information services which can be provided by the private sector unless the cost to the government would be significantly reduced or unless the services of the private sector are unable to meet the government's specifications for timeliness, quality and continuity. The Commission is keenly aware of the need to establish government policy with respect to the roles to be assumed by the public and the private sectors in the distribution of published materials gathered through government programs. Both sectors have important roles to play, and means must be found which will encourage them to be mutually reinforcing rather than competitive. Because information generated by the government is in the public domain, mechanisms are required which will encourage the private sector to cooperate with the government for efficient and effective marketing and distribution of information collected or generated by the government.

General Observations

From testimony taken at the Commission's regional hearings, from relevant research studies and reports, and from conferences with professional and lay groups, a number of observations can be made concerning some of the major problems besetting the nation's libraries. The list is not all-inclusive, but it represents the principal concerns facing the field, as expressed by numerous persons coming before the Commission.

(1) The growth of libraries in the United States has been fragmented and uneven. They evolved independently and do not presently constitute an orderly national system. The level of library and information service in the United States is below the American Library Association's standards in most parts of the country. Certain segments of the population are better served than others. Library development is often unsystematic and unintegrated. This fragmented development has resulted in waste, duplication, and the inefficient use of the total national knowledge resource. Moreover, if libraries continue to develop as they are now—unrelated to one another, a miscellany of informal cooperative arrangements, lacking common standards and compatibility, etc.—in a few years time, it may no longer be possible to organize them into a cohesive national system.

(2) Library and other information resources in the United States are unevenly distributed, a fact which stems from the uneven population distribution and diverse tax structures in the country. While some people in the United States have easy access to rich resources, others are deprived of even the most basic materials. Financial support of libraries varies widely. Thirteen states, for example, have no state aid programs for public libraries, and many communities throughout the country lack the most elementary form of basic library service. According to the 1968 Report of the National Advisory Commission on Libraries, "some 20 million Americans, largely in rural areas, have no public library service at all, and some 10 million more have access only to very small libraries with very inadequate collections and little or no service from professional librarians." Although the population which has access to library services today represents a substantial improvement over the situation which existed thirty years earlier, the service outside urban centers is usually inadequate.

(3) There is a critical need to identify and address the problems of those without even the most basic information services and those who are being served only marginally.

(4) With the increase in the amount of material being pub-

lished, the emergence of new audiovisual materials and computer data banks, the mobility and specialized needs of constituents, and the rising cost of personal services and materials has come the realization that there is a limit to self-sufficiency. Not even the largest libraries can afford the cost of acquiring all of the books and other relevant information needed by their constituents.

(5) Special libraries with information resources for work-related needs exist throughout the United States, but at present they serve only a limited clientele.

(6) Greater collaboration should be developed between libraries and the commercial and other private sector distributors of the newer information services when the results are in the public interest. In general, users are unaware of the many specialized information services and computer information retrieval systems available for their use.

(7) Funding for most library and information services at every level—local, state, multistate, and Federal—is inadequate. A major change in the Federal investment in library and information services is needed to ensure systematic development through funding formulas and arrangements that are mutually reinforcing at every level.

(8) New Federal and state legislation is needed which will give local libraries the incentive actively to join larger systems of service outside their immediate jurisdictions. Without incentive and assistance, it is unlikely that local jurisdictions will allocate funds to provide extra-jurisdictional services through state, regional or national networks.

Not all library problems are included in the above list, but it does reflect some of the major deficiencies which need correction.

Chapter III

Some Concerns of the Private Sector

The term "private sector" as used here includes libraries and other organizations outside of government which are not tax supported. Libraries in the private sector were discussed in Chapter II. This Chapter concentrates on organizations in the for-profit and not-for-profit parts of the private sector which are engaged in the production, processing, and distribution of information. Some of these are commercial companies, while others are not-for-profit scientific and professional societies.

Publishing and abstracting and indexing organizations have long produced, marketed, and sold printed materials and bibliographic access tools to individuals, libraries, and other institutions. These organizations continue to perform vital functions in information transfer. However, with new developments in computers, telecommunications, and image technology, and with the growing importance of nonprint materials, many new for-profit companies have also begun to contribute to the flow of information goods and services. This loose grouping of publishing and information companies has come to be known as the "information industry." While many of its current services are relatively experimental, there is an indication that the information industry will exert increased influence on the nation's information services in the years ahead.

The increased pace of technological change, the growth in media, the computer, and advancements in communications and micrographics have all combined to produce vast amounts of information at an unprecedented rate; information is required by more people and groups than ever before. Some of this information is available from public sources; other information is not. However, the information itself knows no jurisdictional boundaries and to the user, information is information. He or she is hardly concerned with the distinction between a public or a private source. The Commission considers it crucial that information activities in the public and private sectors operate in harmony with one another and in consonance with the national interest. Precedent already exists for incorporating private sector resources and services into the functional information structure of the country. For example, the National Library of Medicine has developed a nationwide biomedical information network which not only includes, but is also dependent upon, the private sector for its successful implementation.

Commercial firms engaged in information activities operate independently of each other, in accordance with the custom in the for-profit sector of the economy and in keeping with the requirements of Federal antitrust regulations. Thus, the opportunity for coordinated development, such as is apparent in library consortia and networking activities, is not readily available in this part of the private sector. Some degree of coordination does exist through trade and professional associations.

The principal problems of publishers and information companies and other information organizations were presented to the Commission in a series of discussions and seminars held with representative groups of the for-profit and not-for-profit part of the private sector. The economic interdependence of those who create and publish knowledge and those who receive and use it became obvious very quickly, and the Commission is aware that, in fashioning a new National Program, it must remain sensitive to this interface.

The Commission also recognizes that a program as broad as the National Program cannot, and indeed should not, be developed and operated entirely out of Federal tax monies, and that many information services addressed to specific disciplines and to specialized user clienteles should continue to be paid for chiefly by those who benefit from them, rather than by the taxpayer at large. The initiatives taken in the private sector to develop and operate new user-supported services are a valuable contribution to the National Program, which of necessity must focus the major part of its attention on broader user clienteles and less specialized information services.

Three areas are of major concern to much of the for-profit part of the private sector:

Economic Viability

In the for-profit part of the private sector, the creation of published materials and related services are regulated by supply and demand. Profit motivates the producer to keep his manufacturing costs down, to seek ways of expanding his sales, and, at the same time, to continually probe the marketplace for new products and services that are needed. Ultimately, the ability to operate profitably depends on user satisfaction and consequent demands. If an enterprise is able to operate profitably, then it can reinvest capital and accept new risks.

In the not-for-profit part of the private sector, economic viability is equally important. The societies and professional organizations involved serve disciplines and other areas whose vital needs continue to increase. However, unlike for-profit companies, these services cannot seek profit to provide reserves for progress and must strive, through quality products, for a close balance between costs and revenues.

The late 1960's saw a rapid growth in the number of library consortia, a primary motive being to share resources as a means of saving money, expanding user services, or both. In the 1970's, library systems and networks are being planned and implemented that take advantage of opportunities provided by new technology. The private sector recognizes the need for and value of better articulated library systems, but is concerned about the potential threat of some library systems and networks to its own economic well-being.

Publishing and information services maintain that sharing resources through networks implies a net loss in their potential sales. Librarians, on the other hand, disagree with this thesis, insisting that the same volume of material will always be needed to satisfy local needs, and that networks will lead to greater information use and, hence, to increased sales.

The producers of creative works and related information and the libraries and their users, who are the consumers of this information, cannot exist without each other. A vigorous national library system is dependent upon a vigorous private sector to help support and sustain it. The Commission recognizes that sound economic growth in the private sector is essential to the development of the National Program. Precautions should therefore, be taken to protect and safeguard the delicate economic balance that exists between producer and consumer and to encourage collaboration in the national interest.

Relationship to the Federal Government

The Federal Government is the largest single producer and disseminator of information in the United States. Each year the Federal agencies spend billions of dollars on projects most, if not all, of which lead to new information of benefit to the American public. At present, this information is channeled to the public through the Government Printing Office, the depository system, the National Technical Information Service, and through a variety of separate formal and informal arrangements made by the agencies. Most of this information appears in print but, in recent years, it has begun appearing in computer tape format as well.

In addition to its role as printer and distributor, the Federal Government also operates information services intended to support the mission-oriented agencies and, in some instances, to serve the needs of the general public. Not all Federal activities of this kind are administered by Federal employees. Some agencies contract with private firms to publish and market their works; some agencies hire commercial firms to operate their information centers; still others encourage the private sector to repackage and/or distribute their information products so as to widen the range of utilization.

The diversity of government policies causes confusion and, in some cases, alarm in the private sector. The question is whether the Federal Government or the private sector should publish and disseminate information produced with public funds. The private sector sees a positive impact on the national economy and on the general tax base, if its components are permitted to compete for the publication of products and services derived from Federal agency programs. It further maintains that publication by the private sector could save the government substantial printing and distribution costs and provide products of better quality that can be marketed effectively. On the other hand, the Federal Government has a public responsibility, and many agencies have statutory missions, to publish and disseminate information produced with public funds for public benefit and with assured continuity.

There is no statute on the books today which prescribes policies or guidelines for the individual Federal agencies to follow with respect to the use of the private sector in the dissemination of the information they produce. Nor is there a focal point of executive responsibility in government to which private organizations or government agencies can turn for policy clarification. The Commission believes that such policy guidelines are needed.

Copyright

As mentioned in Chapter I, copyright continues to be an unsolved problem for both the producers and the consumers of copyrighted information. For the past several years, attempts have been made to narrow the area of disagreement in an effort to find a legally sound and equitable solution. This search continues today. In 1974, a new round of discussions among representatives of authors, publishers, and librarians was initiated under the auspices of the Commission and the Office of the Register of Copyrights in the Library of Congress. The object was to consider the proposed revisions of the copyright law as they affect libraries, authors, and publishers. In February 1975, the Supreme Court heard and handed down a split 4–4 decision in the *Williams and Wilkins* case. The result affirmed a lower court conclusion that the photocopying practices of the National Library of Medicine and the National Institutes of Health Library did not constitute an infringement of the copyright law. No written opinions were rendered by the Supreme Court.

The statutory basis of contemporary copyright practice dates from 1909, and the law has not undergone major revision since that time. Rapid technological advances, first in the photocopying area, and later, in computers, communications, and micrographics, have combined to create economic and legal uncertainties about the future process of information exchange.

The Commission has encouraged the private sector and the library community to find some basis for an equitable solution to the problems created by these developments. Congressional committees in both the House and Senate have also recommended negotiations so that the interested parties themselves can formulate guidelines for library photocopying.

In Summary

The Commission draws the following conclusions about this part of the private sector: (1) It is an indispensable part of the web of information activities of the nation; (2) Its work directly and indirectly affects all elements of society; (3) It shares many interests in common with the library community; and (4) It has an important role to play in the development of the National Program.

Chapter IV

The Trend Toward Cooperative Action

Present Networking Activities

Today's libraries generally have insufficient resources to meet the needs of the times. The major problems facing them were discussed in Chapter II. Briefly, they were:

> the increased cost of acquiring library materials and organizing them for use;
>
> the difficulty of recruiting and compensating skilled personnel for these tasks, especially when the range of languages, subjects, and services is great;
>
> the growth of knowledge, with the consequent demands, particularly on academic libraries, for a wide range of specialized materials;
>
> the varying levels of resources and funding abilities in each state;
>
> the cost of storing infrequently-used materials that accumulate when a library tries to be self-sufficient; and
>
> the requirement to serve constituencies that are not now being served.

These problems are not new, but they have become more serious over the years and have, in the last few years, reached critical proportions.

No one library can afford the cost of acquiring and servicing all the books, journals, microforms, computer data bases, videotapes, audiovisual materials, and other information necessary to satisfy both the highly-sophisticated user and the average person yearning for knowledge to meet today's challenges.

Libraries have long realized that service to their patrons can be markedly improved through "resource sharing" practices which allow any one library to augment its holdings by gaining access, through interlibrary loans, to the holdings of neighboring libraries. Many years ago, this kind of activity was called "library cooperation." The union catalog, a file listing holdings of cooperating libraries, has been one of several devices used by libraries to facilitate the sharing of resources.

During recent years, encouraged by Federal and state leadership and funding, and by the prospect of providing better service, libraries across the country began to develop new kinds of organizational relationships to increase the sharing of resources. In some cases, such organizations have been formed with the major part of their support coming from the participating institutions, supplemented by grants from the public sector. These cooperative programs are now variously referred to as "library systems," "library consortia," or "library networks." Some consist merely of informal, mutual agreements to share materials. A large number are bound by formal contracts and use conventional communication means, such as the telephone and the teletype; the number of those that utilize computers and telecommunications is growing rapidly.

A number of Federal institutions, like the National Library of Medicine, have become major centers for the design and development of computerized communication services for particular constituencies. They have moved ahead to form local and regional networking arrangements which conjoin several institutions in a formal organizational pattern. Equally extensive information retrieval (IR) service networks embracing several hundred terminal sites have been established in the private sector by several commercial firms. Such networking arrangements not only give each participant access to data created in other centers, but they also provide the means for initiating other cooperative services.

Typical of existing library networks are those formed by the libraries of the metropolitan cities. Because the great bulk of American's library resources are located in metropolitan areas, and because many of these areas cross state boundaries, some metropolitan cities have initiated cooperative library network programs independently. Some have been aided by support directly from the states concerned, but others were started as a result of receiving planning grants directly from the Department of Housing and Urban Development (HUD). Since not all networks may originate as part of a statewide program, the National Program should include provisions for channeling funding to multistate groups which do not fit the state pattern and which are capable of providing broad cooperative programs.

Intrastate networks are being planned, or are in operation, in California, Illinois, Iowa, Maryland, Minnesota, New Jersey, New York, Ohio, Washington, Wisconsin, and in other states. In the middle 1960's, a library network was formed which crossed state lines: The New England Library Information Network (NELINET). Operating as a program of the New England Board of Higher Education, the six state universities agreed to develop library network services. Other multistate groups such as the Southwest Library Interstate Cooperative Endeavor (SLICE) and the Southeastern Library Network (SOLINET) have formed to carry out prescribed functions together. Many states are already involved in multistate library activities. Each multistate group is in a different level of development and funding, but all share a common set of goals: to provide those library and information services which can be delivered more effectively by a relatively large-scale regional approach than by either state or Federal agencies.

Recent recommendations in a report undertaken for the Commission ' suggest that by building upon multistate regional resources and existing organizations, many of the nation's bibliographic resources can be conserved and, at the same time, reach out through modern network technology to a greater number of citizens than is now the case using relatively primitive, isolated, and disjointed technology. Many of the emerging regional groups, as well as some states, realize the benefits and responsibilities inherent in network supported interdependency, and this is fostering a new approach to library and information service.

In addition to multistate library organizations and networks, there are still other activities that use commercial communication networks to facilitate the distribution and communication of bibliographic data to libraries in any state. The most active of these is the Ohio College Library Center (OCLC), a nonprofit institution, which today serves over 600 library terminals from a single computer in Columbus, Ohio. This system allows participants to access a large data base, containing over one-and-a-half million bibliographic records, to produce catalog records and cards for their own holdings, or, if there is no existing record, to enter the data to establish a record (which can then be used by others). Location information is included in each record, so that the file also constitutes a union catalog. The Center has recently added remote label production, accession lists, and serials control to its services, and future plans include: subject search; direct user access; circulation control; and collection of management information. Also, a commercial firm makes available a bibliographic service for libraries. Both organizations provide for service charges according to a fee schedule, and both make active use of the Machine Readable Cataloging (MARC) computer tapes prepared by the Library of Congress. At the state level, the state of Washington uses a cataloging data base as the foundation for an automated network connecting all libraries in the state. On-line development is expected to be completed by 1976. In addition to supplying centralized cataloging for the libraries of the system, computers will also produce processing kits (cards, labels, etc.) as well as book catalogs. Development of acquisitions, circulation, and serials modules is being planned for the 1975–77 biennium at the close of which all state-supported institutions and major public libraries will be on-line to the central data base.

Although none of the existing library networks has reached full potential, a few have demonstrated the viability of resource sharing through electronic networking and have shown some of the benefits that can be derived from speedy electronic communication. Library functions which can obviously benefit from improved interlibrary communication are interlibrary lending, coordinated acquisition program, and shared cataloging.

The primary source of centralized cataloging data in the United States is the Library of Congress, which makes available, for a fraction of the cost of original cataloging, printed catalog cards of any of the titles it has processed since the turn of the century. Shared cataloging, in the form of printed cards with common bibliographic information, is also available from commercial companies.

In the area of reference services, some consortia, as well as many individual libraries, are using interactive computer time-sharing systems for citation and data retrieval, while still others are investigating future use of electronic communications as an alternative to mail, for the routing of larger volumes of textual material from library to library.

Some of today's statewide networks include only one type of library, e.g., public or college; others, called "multitype" or "intertype" involve all types of libraries and information centers. Their administrative structures vary, as do their services and membership. The degree of formality in a statewide network appears to be a function of size. Strong statewide networks require dependable and sustained funding, a legal base, a willingness on the part of the members to yield some local autonomy, a structure that will survive changes in personnel, and provision for growth and change. The impediments to success are preoccupation with questions of control and organization, and impermanent funding mechanisms. Workshops and continuing education programs in organization and management help to bring about understanding of the human and administrative problems; the National Program would help to provide continuity and stability to such efforts.

While many statewide networks are considered successful on local, state, and regional levels, most are proceeding without plans for an eventual tie-in to a nationwide network. Statewide networks are the cornerstones on which a nationwide network will eventually be built, and it is only through careful planning toward a nationwide system than they can develop in harmony. Interstate compatibility is mandatory, if statewide networks are to be economical and efficient in the context of a national network.

It should be emphasized that NCLIS regards the self-generating and on-going trend toward cooperative statewide and multistate networks as a movement which should be encouraged and abetted with Federal support. Although there is no standard by which to measure the "value" of increased access to information that a network may provide, it seems clear that economic, educational, and recreational benefits will accrue in due course both to the individual and to the country as a whole when a nationwide network is implemented.

Barriers to Cooperative Action

in viewing the environment in which a nationwide network could become a reality, the Commission recognizes the following barriers and impediments which will have to be overcome to achieve the increased cooperation required to implement a nationwide network:

(1) The information community in the public and private sectors is growing more diverse, and the component parts—the libraries, the publishing industry, the indexing and abstracting services, the education community, and the various government agencies—have had little or no experience in working together toward a common national goal. The Commission recognizes that the success of any comprehensive nationwide program must, therefore, have the fullest involvement and cooperation of all the elements of the information community. The Commission also regards it as important that the functions and relationships of all segments of this community be carefully studied and integrated into the program. Only if the total information community is joined together by a common objective will it be possible for the nation to attack the pressing information problems which confront it.

(2) State, local, institutional, and private funding for libraries and information activities is unstable and insufficient. Funding is not planned to foster interlibrary cooperation in a major way, and, consequently, no mechanism exists whereby local, state, and Federal funds can be made mutually reinforcing for a cooperative national purpose.

(3) Jurisdictional problems are impediments. Although information and knowledge respect no geographic boundaries, and user needs are as various as human concerns and interests can make them, the provision of information service in many localities is still limited by the taxes supporting a particular jurisdiction. Traditional funding patterns will need to be changed to make them equally supportive of local *and* nationwide objectives.

(4) No national guidelines are available to ensure the development of compatible, statewide and multistate network development. Unless administrative guidelines of this kind are formulated soon, there is danger that a heterogeneous group of networks will emerge which may be difficult and

expensive to connect, or which may never be connected at all.

(5) The rich and specialized resources of the Federal libraries, nongovernmental special libraries, research libraries and information centers must become an integral part of the nationwide network. Such integration will require that these institutions adopt a more open policy toward serving the general public in addition to their respective organizations, and a willingness to form or join library and information service networks.

(6) Professional librarians have concerns about the use of new technology. The computer and other electronic information systems have made the average librarian and information specialist apprehensive about the loss of personal contact with the patron. This concern is reflected in the caution with which some libraries throughout the country have moved to convert from traditional methods to machine methods. Such conversion, in large part, implies a reallocation of personnel, and entails a new and unfamiliar approach to library management. Mainly, the problem is not technical but attitudinal. Technology also implies an entirely new conception of the library and its services. It requires the librarian to remold his thinking, to be willing to change his notion of librarianship, and to ". . . rise above the computer, above the engineer, above the systems analyst . . ." and thereby push the profession into a position of real social utility.[9]

(7) The human resources required to plan, develop and operate the nation's libraries and information centers are, of course, the most important elements in today's systems, as well as in tomorrow's networks. Because future systems are not yet determined, the quantity and quality of human resources which will be needed to meet future demands cannot be assessed with certainty. It is evident, however, that new approaches to library and information science education will be necessary, if professionals, paraprofessionals, and other personnel are to be equipped to function in nontraditional ways. Although many library operations will, undoubtedly, continue to be performed in traditional ways, it is becoming progressively more important for librarians to be acquainted with the new technology. Schools of library and information science are in the process of re-

evaluating their curricula in order to accommodate innovative programs. Today, however, many of our educational institutions are not turning out professionals who are technically equipped to deal with nonprint materials, or with computer and communications technologies.

(8) Except for the Library of Congress, the United States does not possess an official national bibliographic center to coordinate the processing and distribution of standard bibliographic records for the use of all libraries and information centers. The current complex pattern of bibliographic services consists of a multiplicity of organizations, in the public and private sectors, providing a variety of products and services. National bibliographic control is needed to identify items of recorded information in all media, to provide intellectual access to each such item of information, and to standardize the processing and communication of relevant data.

(9) One of the chief obstacles to sharing resources is the lack of public knowledge about the location of available resources. Not only must the public be made aware that library networks and commercial information services exist, but every potential user must be instilled with the desire to learn, to read, to find out, and to know. Every technique known to the teaching profession and to the television, radio, and newspaper media should be used to educate the users, at every age level, about the location of library and information services available to serve their needs.

The barriers and problems recounted above are, in part, a result of the independent growth which has characterized the development of libraries and information services in this country. To erase barriers to cooperative action will call for a major new program which is built on the concept of national cooperation. A new program will require cooperative action among libraries and also call for cooperative action between the distributors and users of information. The endurance of the information cycle, from production to use, depends on viable economic relationships. The next chapter addresses these issues and sets forth the outline of a proposed National Program.

Chapter V

The Recommended National Program

At present there is no national program of library and information service for the development of Federal, state and local library, and other information activities in the United States. As a result, existing programs are generally unrelated to one another and continue to develop throughout the country in uncoordinated ways. In some cases, this tends to lead to incompatible systems and counterproductive activities. For this reason, the Commission believes the time has come to ensure that future development of the nation's information resources will occur in a cohesive manner according to a national plan.

The National Program proposed by the Commission represents an overall structure within which current deficiencies can be corrected and future requirements can be addressed. The program is designed to be evolutionary and does not pretend to solve all of the problems besetting today's library and information world, but it does set forth certain objectives which can guide its development and improvement in the years ahead.

The National Commission is firmly committed to the continuation of categorical aid as part of the National Program. Although past Federal funding achieved many worthwhile objectives, the results fell short of the original goals, and much more remains to be done. The proposed National Program would coordinate and reinforce all Federal efforts to support local and specialized services and, at the same time, provide a national framework for planned, systematic growth of library and information services in the public and private sector.

Program Objectives

Objective 1. Ensure that basic minimums of library and information services adequate to meet the needs of all local communities are satisfied.

Local libraries and information centers, whether large, medium, or small, and whether public, academic, or school, are vital links with the people. Local libraries are the first place in the community where most people generally go to find information. Unless local systems, therefore, are strong, and are supported by continuing, aggressive, and dynamic leadership. they will be ineffective members in any program of nationwide scope. The sharing of resources is no remedy if resources are inadequate at the local level. Strong systems need strong components. It is, therefore, imperative that the National Program provide that local communities attain certain basic levels of service and materials, and that their human resources are also strengthened. Only when local resources have been strengthened can resource sharing and other joint efforts lead to successful networking arrangements at state and national levels. Major existing legislation relating to libraries and education for librarianship (Library Services and Construction Act, Titles I, II, III and IV; Elementary and Secondary Education Act, Title II; Higher Education Act, Title II; and the Medical Library Act of 1974) has accomplished a great deal, but it is the Commission's view that Federal support in the form of categorical aid is still needed, and that every effort should be made to expand and retain it. A revised and strengthened LSCA is a major priority for 1976.

Objective 2. Provide adequate special services to special constituencies, including the unserved.

There are large user constituencies which require services and materials of a specialized sort. Such groups include the poor, the illiterate, the blind, the visually and physically handicapped, the ethnic minorities, American Indians on reservations, the very young, senior citizens, inner city youths, migrant workers, the institutionalized, and many other parts of our society. The Commission believes that all people have a "right to read" and that the Federal Government has a responsibility to help them.

In accordance with the Commission's goal that every individual in the United States must, through the local community, be given equal opportunity of access to the resources needed at the time they are needed, the National Program must ensure that those people requiring specialized services get them.

A large segment of the population is economically disadvantaged. Many cannot read. Yet, libraries could change in such ways as to help them through outreach programs, and could serve as sources of information on welfare, health, employment, education, literacy, and other social problems.

The number of people belonging to ethnic minorities in this country is very large—about 40 million Black Americans, Asian Americans, and Hispanic Americans. Many of these people have no library or information services at all, and where such services exist, the personnel who operate them are sometimes perceived as insensitive and unresponsive.

The more than six million blind and physically handicapped persons in the United States need materials in a special format. The National Commission commends the Library of Congress, Division for the Blind and Physically Handicapped, for its dedicated work in this area, and regards it as critical that its work be continued and expanded. Specifically, the Commission recommends that added efforts be made to seek out and serve those eligible for the service; utilize more effectively the limited resources available, considering the expense and time consumed in the production of embossed and recorded books and periodicals; increase the quantity and quality of available materials, taking advantage insofar as possible of new technological advances in the production of braille and music braille; and implement plans for the computerized National Union Catalog of embossed and recorded materials. Attention should also be directed toward the continued increase in the number of appropriate circulation outlets, so that handicapped persons may be served more adequately by their local libraries; further development of the multistate service, centralized cataloging, storage and distribution centers, development of more efficient interlibrary loan techniques; and the promotion of cooperation and communication among participating libraries and agencies.

The Commission is aware of and very much concerned about the unique library and information needs of the American Indian and the responsibility of the Federal Government toward meeting these needs. In its treaties with Indian tribes, the Federal Government undertook an obligation to provide adequate education to Indians on their reservations, which includes a concomitant obligation to provide complementary library materials and services. There are still many people on reservations who speak or understand English with difficulty.

The provision of bilingual materials is, therefore, very important. Equally important is the need for suitable library training programs for Indians at both the professional and paraprofessional levels. Libraries must be the institutions which provide information to the community, and Indians need Indians to serve them. Because American Indians pay no taxes while living on the reservation, they do not qualify for matching funds, and have remained outside the mainstream of past Federal funding for libraries. The new National Program must provide a workable base for assistance and ensure that Indian reservations are tied into the proposed nationwide network.

The Commission believes that service to specialized constituencies ranks very high in the scale of priorities for the National Program. Every person in America, regardless of his or her economic, cultural or social situation, has the same right of access to knowledge. New legislation would underscore this principle and provide a channel for assessing the requirements of special constituencies and taking appropriate action.

Objective 3. Strengthen existing statewide resources and systems.

Not all states are at the same level of library and information service development. Some states have well-developed programs; others function at less-well developed levels; and still others have no statewide programs at all. Because the states are the essential building blocks in any national information system, it is important that they all attain minimum levels of proficiency and strength as parts of a nationwide program.

Most states do not yet provide sufficient funding to their library and other information activities. The proposed National Program of Library and Information Services would provide formula-matched funds to the states to help them attain certain minimum requirements with respect to materials, services, and staffing. In time this should enable their libraries, at the local level, to satisfy the vast majority of everyday information demands generated by the people within the state. The National Program would also assist the states in forming intrastate networks compatible with the one constructed for national use. The state networks would provide local libraries access to required materials in other parts of the state or out of state. They would also organize means of delivering the desired materials to the patron (mail, freight, delivery truck, facsimile, cable TV, etc.).

It is the view of the National Commission that any new National Program should rest on the understanding that the Federal Government would fund those aspects of the National Program that are of common concern nationally, in return for a commitment on the part of the states to accept, in cooperation with the local governments, a fair share of the responsibility for funding libraries within their own jurisdictions. Federal legislation would spell out the obligations to be assumed by the states when joining the National Program, describe the services they would receive in return, and set forth general matching fund criteria for development of the intrastate parts of the National Program. (cf. Responsibilities of the State Governments, page 61).

Objective 4. Ensure basic and continuing education of personnel essential to the implementation of a National Program.

The development of adequate human resources for library and information service has been one of the Commission's concerns since its inception. In its 1971–1972 Annual Report, the Commission made the point as follows: "It is important that those giving service in libraries and information centers be qualified for their work. Poor help in identifying and locating information is bad for the user and will ultimately damage the organization that provides the inadequate service."

The successful implementation of an all-encompassing nationwide program depends largely on whether or not the staffing and resource needs of libraries and information centers are adequately met. The program must have people in it who are competent, sensitive to user needs, and able to employ new techniques. This is especially true in service to minorities, the disadvantaged, those with a language other than English spoken in the home, the homebound, the blind, and the physically handicapped. The quality of training, the appropriateness of that training to existing and changing conditions, and the attitudes of those who serve can make or break programs and provide satisfaction or discontent among those served.

The domain of library and information science is interdisciplinary. This implies that the personnel required to manage a National Program of Library and Information Services should be equipped, technically and substantively, to cope with all aspects of planning and implementation. Well-trained professionals are needed in areas such as management, planning and evaluation, automation, media services, and outreach programs.

Schools of library and information science are aware of the need to redefine their educational programs, in order to attract exceptionally-qualified students and build the leadership needed to remold traditional librarianship into a dynamic profession. However, no concerted effort has yet been made to bring this about.

It is essential, therefore, that the National Program give consideration to both basic and continuing education of personnel at all levels, professional and paraprofessional. A new approach to educational curricula will be needed in library and information science if librarians, information scientists, library technicians, and auxiliary personnel are to learn to function as an interdisciplinary team. Expressions of need for an innovative approach, preferably an interdisciplinary one, have come from many national, regional and state professional associations, schools of library and information science, state and national libraries, and from librarians, information specialists, and their employers. An interdisciplinary approach to education does not necessarily imply that every librarian must immediately become a computer scientist or vice versa. There are many library operations that can and should continue to be performed in traditional ways. It is essential, however, that all librarians understand the potentials of the new technologies; and this is especially true for those librarians who serve the user directly. Those in contact with the user must understand the capabilities of the statewide or nationwide network with which they are working.

To achieve a technological and organizational upgrading of libraries and information centers will require new approaches to recruitment, personnel development, continuing education, technical training, trustee orientation, and other matters relating to human resources. The Federal Government has a primary responsibility to ensure that all those who will participate in the National Program have adequate opportunity to be educationally equipped and trained for their jobs. A

Federally-funded program of fellowships and training institutes is basic to the fulfillment of this responsibility.

Objective 5. Coordinate existing Federal programs of library and information service.

The Commission recognizes that existing library and information service programs in operation by the Federal Government—such as those in the Library of Congress, the National Library of Medicine, the National Agricultural Library, and the 2,300 or more Federal libraries and information centers—constitute invaluable operating programs that are of great significance to the proposed National Program. Many of these programs are already performing centralized bibliographical, reference, and other services which are of benefit to all libraries in the country. The National Program will make use of these national services, and must ensure that they are well coordinated and continued at levels strong enough to fully satisfy the national need. These existing Federal programs would become critically important elements in the National Program, even though they remain administratively autonomous.

As stated earlier (cf. Objective 1, page 39), the Commission believes that existing categorical aid programs should continue to be administered by those mission-oriented agencies which are directly concerned with the substance of a particular problem area. The Commission believes that the variety and extent of operating and grant programs in the Federal Government are so great that any attempt to centralize them into a single agency might be not only impractical, but also unwise. Instead, the Commission proposes to involve the best resources and the best capabilities of all of the agencies of the government which can make a significant contribution to the National Program.

Public Law 91–345, establishing the National Commission on Libraries and Information Science, assigns to it the "primary responsibility for developing and recommending overall plans, and advising the appropriate governments and agencies on . . . policy" with respect to meeting the library and information service needs of the people of the United States. In the proposed National Program, the Commission would exercise this responsibility through the development of national policy, coordination of existing programs, and creation of new programs as appropriate.

Objective 6. Encourage the private sector (comprising organizations which are not directly tax-supported) to become an active partner in the development of the National Program.

The private sector has long been involved in using and providing information, and has built up a large body of expertise in handling information. In recent years it has initiated many new types of information services. Two distinct components of this sector can be identified as having the capacity to make special contributions to the National Program; the special libraries and information centers (in both for-profit and not-for-profit organizations); and various service organizations.

Special libraries and information centers in the private sector in business and industry, in museums and hospitals, and in other organizations of all kinds, often have important collections of material and the capability of providing quick, up-to-date analytical service for their own organizations. They are user-oriented, have frequently taken advantage of new technology, and have developed tools to assist them to serve their users more effectively. They have a history of informal cooperation.

Certain segments of the private sector have developed new types of information services for sale to information users of all kinds, including libraries in the public and private sectors. Many of these services employ unconventional products which derive from applications of the new technology, such as microfiche, video cassettes, on-line, computerized data banks, facsimile transmission, and CATV. In some cases, the new services represent innovative extensions of past practices. Taken together, the new commercial and other private sector information services are growing rapidly in number, function, and value.

Since information has an economic value of its own, the use of commercial and other private sector information services is becoming accepted as a reliable and cost-effective method of obtaining information.

While little precedent exists for incorporating private sector resources and services into the country's functional information structure, it seems essential that they be made an integral part of any National Program.

Objective 7. Establish a locus of Federal responsibility charged with implementing the national network and coordinating the National Program under the policy guidance of the National Commission.

The National Commission is a policy-making and planning body. It is not empowered by law to operate programs. What is needed, as a matter of first priority, is a locus of Federal responsibility, some agency in the Federal establishment, where policies with respect to library and information service activities can be transplanted into action. Such an agency's initial responsibilities would include: implementing a nationwide network, coordinating the National Program, and putting into practice related policies enunciated by the National Commission. It would also have authority to make grants and contracts, establish standards and encourage their adoption, and undertake other functions consistent with the Commission's policies to implement a program of national concern.

One of the most important issues to be resolved in pursuing a National Program of Library and Information Services is deciding what kind of permanent operating agency is required at a Federal level for this purpose and recommending where the agency should be located in the government.

It may not, strictly speaking, be necessary to create a new Federal agency. It may be that the proposed functions of the National Program could be assigned to several existing agencies merely by broadening their responsibilities. The important thing is that the new National Program will require new administrative and operational functions and that, at present, there seems to be no natural home to accommodate them. The Commission firmly believes that the responsibility of the agency, whether old or new, should be neither all-encompassing, nor authoritarian, nor prescriptive, nor regulatory, but rather, that it should be supportive and coordinating. This agency is seen as one which would encourage cooperative efforts at every level and which would coordinate backup national services. It would have no control whatsoever over the content of the information flowing over the nationwide network. It would, however, be backed by legislation to enable it to obtain the necessary funding from the Congress for meeting the crucial needs of the National Program. It would also be authorized to require compliance with standards for nationwide compatibility as a condition of continued funding.

Whatever central authority is eventually established to direct the National Program, local autonomy and the maximum degree possible of local self-determination should be one of the program's major tenets. The variations of needs and existing levels of services and resources are so great that it would be difficult for a central authority to be fully cognizant of the diverse needs of all.

It is not yet clear where an agency responsible for library and information service belongs in the organizational hierarchy of the Federal Government, or whether there is an existing agency to which this role would be appropriate. Three existing national agencies have been mentioned as possibilities.

(1) The Library of Congress;
(2) The Office of Libraries and Learning Resources, U.S. Office of Education; and
(3) The National Commission on Libraries and Information Science.

Recognizing the importance of the relationship between the proposed program and the private sector, some people have suggested that the new responsibilities and functions be assigned to a quasi-governmental agency organized along the lines of the Corporation for Public Broadcasting.

It is far from clear at the moment what the best solution might be, and the Commission, therefore, feels that these and other alternatives should be thoroughly investigated.

The Commission cannot stress strongly enough the urgency attached to finding a suitable home in government for implementing, coordinating and integrating library and information service on a national scale.

Objective 8. Plan, develop and implement a nationwide network of library and information service.

The National Commission believes that only by interrelating the pluralistic cooperative programs of the past and providing a national frame of reference for future development will the nation be able to achieve optimum exploitation of the rich information and knowledge resources in the United States.

The next section describes the main elements of the proposed nationwide network whose purpose, as indicated earlier, is to tie together information systems at all levels; Federal, multistate, individual state, and local, as well as compatible systems found in the private sector. The aim is to permit rapid delivery of needed services and materials to people in all jurisdictions without artificial institutional or geographic constraints.

Meeting the above eight priority objectives constitutes the sum of the Commission's proposed program. It attacks problems and deficiencies on a broad front and provides a comprehensive approach toward their solution. In some instances, existing programs would be strengthened or reoriented. In other cases, the Commission would initiate new programs—such as the nationwide network. To bring this all about will require new legislation. This legislation would need to: define the total program; assign responsibilities and functions within the Federal Government to relevant agencies; provide needed authorizations; specify the criteria for participation in the network; and authorize multiyear appropriations commensurate with program and accountability requirements.

The Nationwide Network Concept

Major Federal Responsibilities

A nationwide network of libraries and information centers means an integrated system encompassing state networks, multistate networks, and specialized networks in the public and private sectors. The Federal Government would force no library or information service to join the network, but it would provide technical inducements and funding incentives to state governments and the private sector to strengthen their ability to affiliate.

At first, network affiliation is expected to occur organizationally through formal agreements or contractual relationships among groups of libraries and other information facilities. But later, the Federal Government would provide financial and other incentives to the states and to the private sector to enable them to achieve working interconnection. In certain specific instances, the Federal Government would assume responsibility for the interstate portion of the network's activity. Specifically, it would collaborate with appropriate professional societies in promulgating interstate technical standards, and it would support the introduction of additional computer and telecommunications facilities as needed for interstate purposes, and help establish protocols governing the way transactions are handled by the network. The commercial communication carriers are already building up their capacity to handle the type of traffic which is expected to flow over a nationwide network of libraries and information centers.

Within the National Program here advanced, the Commission sees the national network as a flexible, voluntary, and evolving confederation of those who deal with the nation's vast information resources. The following pages discuss major Federal responsibilities as identified by the National Commission.

(1) *To encourage and promulgate standards.* Without doubt, an essential function, to be performed by the agency responsible for implementing the nationwide network, will be that of encouraging and guiding the development and adoption of common standards and common practices, adherence to which is implicit in system design and implementation of a nationwide information network. These standards include those required to assure interconnection between intrastate networks, multistate networks, and specialized networks in the public and private sectors.

The importance of establishing standards at the national level cannot be overstated. It is the principal method for achieving economies of scale and reducing duplication among libraries and other members of the information community. Current research in computer networking clearly indicates the need for standards covering a variety of areas, including computer hardware and software, access protocols, data communications, data standards, data elements and codes, and bibliographic standards. Careful attention to standards problems and requirements at the design stage can significantly reduce the incompatibilities and interconnection problems that arise when independently developed systems are integrated into a coherent operating network. The establishment of standards late in the network development process would be disruptive, costly, and, frequently, ineffective.

The Institute for Computer Sciences and Technology (ICST) at the National Bureau of Standards has governmentwide responsibility for developing mandatory Federal Information Processing Standards and for coordinating Federal participation in the development of voluntary computer standards, mainly through the American National Standards Institute (ANSI). The ANSI standardization program encompasses the development of standards and guidelines in a broad selection of areas, including computer software, data elements and codes, software documentation, computer security and controlled accessibility, computer networking, computer system performance measurement and evaluation, magnetic media, data communications and computer hardware. Although much of the Institute's technical program is conceptually relevant to the concerns of the National Program, it would appear that the outputs of the current program do not fully satisfy the requirements of the entire information community. Much more needs to be done, in both the public and private sectors, if the more generalized standardization problems are to be satisfactorily solved.

In addition to having technical standards, such as those relating to hardware and software, a nationwide network of library and information service will also need to strive for common bibliographic standards. The most powerful force for bibliographic standardization in the United States is the MARC-II format developed by the Library of Congress. The format has proved so useful that it has already been accepted as a standard by the American Library Association, the American National Standards Institute, and the International Standards Organization.

Aside from bibliographic standards for monographs and serials, other areas are in need of standards for their future uniform development. For example, bibliographic standards must be provided for reports, maps, pictures, films, machine-readable data files, sound recordings, etc. The Association for Educational Communications and Technology (AECT) has already issued a publication entitled "Standards for Cataloging Non-Print Material," and the Library of Congress has work in progress to extend the MARC program to include the new media.

The commercial and not-for-profit indexing and abstracting services do not yet possess a common approach to bibliographic control. In order to achieve the goal of national interchange of bibliographic data over on-line computer/

communication systems, and to reduce the hazards of duplication of effort, it is imperative that this community take steps now towards the adoption of standards.

In the same vein, scholars working in the humanities are gradually building libraries of machine-readable texts. A large number of these literary texts exist in computer form already. If they are to be used efficiently by scholars in the future, plans must be laid now to develop them according to standard procedures and conventions. Agreement has been reached in the bibliographic world on a standard computer character set—such as the letters, the diacritical marks, numerals, punctuation, and special symbols—but more remains to be done to assure uniform adherence to these conventions by librarians and humanists.

At a Conference on National Bibliographic Control in April 1974, representatives of the public and private sector were unanimous in their agreement that a national system of bibliographic files is an essential part of a national bibliographic system. They recommended that these files be in a standard machine-readable format and that the data base contain ". . . certain records which will provide for the unique identification of each item and will list appropriate locations of each."[10] As a result, a project under the auspices of NCLIS, the National Science Foundation, and the Council on Library Resources was started in February 1975 to achieve this bibliographic objective. The Commission firmly believes that unless common bibliographic standards are agreed upon along the lines of this recommendation, the nation will face a form of information chaos within the next few years.

And, finally, standards are needed in the areas of reprography and micrographics. Although a number of useful standards already exist, there are a great number of examples of nonstandardization which users currently endure. For example, there is no universal microfilm cartridge on the market that is compatible with all available equipment. Considering that more than two hundred companies are engaged in manufacturing microfilm equipment and services, the development of standards is, at best, a difficult chore. However, if microfilm is to become a dynamic medium in library operations, then users, producers and groups like the National Microfilm Association and the American Library Association, must work together to standardize its adaptability to information functions.

It appears that reasoned and effective standardization is the best way, if not the only way, to obtain maximum national benefit from electronic networking and new information formats. If there is to be the level of hardware, software, and bibliographic standards required for nationwide networking, full and active community participation in developing these standards is mandatory. A very high percentage of the total input to libraries is now, and will continue to be, provided by the private sector. Technical and bibliographic standards will control both the form and the content of this input. All computer-readable data, as well as all microforms, will be impacted by these standards. A higher degree of expertise than is currently available in any one sector will be required to set these standards. The Federal Government, therefore, has a responsibility to encourage and support present and future standardization efforts, both in the public and private sectors, and to provide for the modification of existing standards and the coordinated development of new standards as they are needed. The responsible Federal agency would view the promulgation and enforcement of standards as one of its major and most important functions.

(2) *To make unique and major resource collections available nationwide.* The new network would make unique and major resource collections available nationwide. The term "unique collections" refers to a body of materials and information which shares a common characteristic, such as form (newspapers), period (Renaissance), language (Japanese), or subject (chemistry). The Commission recognizes that there are many institutions in the country, both publicly and privately supported, whose collections include one-of-a-kind resources of general interest and potential benefit for the entire population, e.g., the comprehensive research collections of Harvard University, the New York Public Library, and the Newberry Library, or less-well known but singularly important, the Glass Information Center in Corning, New York, the Chemical Abstracts Service in Columbus, Ohio, and many others. The responsible Federal agency must identify means for protect-

ing unique and major resource institutions like these and be authorized to provide incremental funding to enable them to serve more people than their primary clientele. To achieve this, the Federal Government would offer to compensate such institutions for performing added services. The institutions, in turn, would have the option of accepting or rejecting a national responsibility for developing and sustaining their particular collections.

Charges may have to be levied for the use of some unique collections. When such compensation is required, appropriate fees and payment methods will need to be devised.

(3) *To develop centralized services for networking.* A similar responsibility of the Federal Government would be to sponsor and support centralized bibliographic and other services in the public and private sectors, when it can be reasonably demonstrated that such central services would benefit a majority of libraries and information centers or achieve economies of scale.

Examples of potential services include a national audiovisual repository, a national system of interlibrary communication, a national depository for the preservation of master microforms and "best copies" of all works of significant research value, or a national periodical bank. The National Library of Medicine (NLM), for example, is already the "library of final resort" for medical periodicals not held elsewhere in the country.

In the humanities there is a steady increase in the establishment of bibliographic data banks of abstracts of articles published in the United States and abroad. A need to combine these and other data banks for cross-disciplinary research in the humanities could lead to the development of a centralized computer retrieval service for the humanities available through the nationwide network.

The Commission, of course, recognizes that some functions are better performed locally than centrally. However, in many areas of the country some institutions are wastefully duplicating effort, performing repetitive processing, storing similar materials beyond those required to satisfy local everyday demands, and giving incomplete or limited services to the public because of the lack of centralized services. Existing national services that currently serve the library and information community at large, such as those provided by the Library of Congress, would be re-examined and either modified or incorporated intact into the National Program. Others that are needed would be initiated by the Federal Government.

The criteria to be followed in designating national collections and services, or in recommending their establishment *de novo*, will need to be carefully articulated in proposed legislation.

(4) *To explore computer use.* Computer technology is another very important part of the design of a future nationwide information network. Computers have become indispensable tools in the operation of library and information networks.

Today, libraries use computers for many phases of their operations: recording, control, dissemination, and retrieval of bibliographic information, catalog card production, circulation control, book ordering, serial records, and other routine library functions. Aside from these applications, research is also being pursued by libraries to find ways of using the computer to answer library reference questions; a number of libraries, in fact, have already begun to search computer bibliographic data bases. Libraries of the future might be expected to have the full text of certain materials stored in a form readable by machine.

The nationwide network may require several computer installations for centralized processing to help transform the machine-readable bibliographic records, produced by the Library of Congress and other national libraries, into forms (such as cards, book catalogs, special bibliographies, selective dissemination of information (SDI) services, etc.) suitable for decentralized use in each state. For each library, or each state, or that matter, to operate a large-scale computer installation would be prohibitively expensive in most cases. The cooperative, time-shared, multi-institutional approach to computer usage, supported by the Commission, appears to be the most economic and efficient solution.

Computer installations in the nationwide network would carry out three functions: the first, dedicated to bibliographic production (the processing of machine-readable tapes produced by the national libraries into by-products required by the local institutions); the second, devoted to service uses (recording holdings, making referrals, managing interlibrary loans, searching data bases, performing interactive searches of bibliographic and abstract files, etc.); and the third, related to the management and accounting function of network operation, including inter-system payments of suppliers of information. The existence of several computer centers for interstate use in the network will not offset the need for some libraries to maintain their own computers—probably dedicated minicomputers—to satisfy local internal processing needs. In fact, the minicomputer may eventually become a distinct and direct functional component within a national communications and computer network. Computers at the multistate level of the national network would probably be a set of large, fast, time-shared computers, with transmitting and receiving terminals in the member institutions.

(5) *To apply new forms of telecommunications.* Since the main purpose of a nationwide network is to place the user in contact with his materials, finding ways of speeding up the delivery of information constitutes one of the more important aspects of the network concept. A nationwide network must incorporate appropriate means of communicating rapidly and effectively with the facility at which the desired material is located. It is in regard to the techniques which allow optimal interconnection between user and resource that the greatest change in current thinking and practices will be required.

Of all the different kinds of equipment used by libraries for interlibrary communications, the one which has received widest acceptance, other than voice-grade telephone, as a low-cost practical tool, is the teletypewriter. Teletype communications between and among libraries exist in both informal and formal network configurations. They are generally used to augment library holdings on a reciprocal basis, to provide for general communications with other libraries, to serve as a channel for querying union catalogs, and to accommodate reference questions and services. Business, industry and government also utilize teletype for exchanging information.

A future telecommunications system used for a nationwide information network will eventually need to integrate teletype, audio, digital, and video signals into a single system. This concept is an important aspect of the design of a modern communications system for information exchange. "Integrated telecommunications systems" have become practical only during the past few years, and commercial and governmental efforts are underway to provide these unified facilities on a large scale. Within the next few years, domestic communication satellites will be operating over the United States, thus further enlarging the nation's capability to exchange information in all forms.

Although distribution of documents from, say, holographic or microform collections through electrical channels to individual libraries, or even directly to the user, will soon be technically feasible, the bulk of information will, most probably for a long time to come, be transmitted over regular communication channels such as mail, parcel service, intercity bus, rail, dedicated interlibrary delivery systems, bookmobile, and other means. Even though, at the present time, many commercial telecommunication companies are upgrading their lines, it would appear that the regular costs for library and information telecommunications would still be too high, and that an exception to the Federal telecommunications regulations may be needed to guarantee reasonable rates for interstate information exchange.

The Commission believes that rapid and inexpensive telecommunication among members of the nationwide network could turn out to be the greatest boon ever to the national distribution of knowledge for education and progress. For this reason, the responsible agency would be directed to explore all possible avenues leading to reasonable communication rates for library and information networking purposes. First, as an interim step, the possibility should be explored of incorporating this type of communication into the normal Federal Telecommunications System (FTS). In this case, special legislation may be necessary to authorize interstate use of the FTS system free of charge or at a reduced rate. Second, approaches might be made to the Federal Communications Commission (FCC), or the National Aeronautics and Space Agency (NASA), for permission to use satellite communication channels, at first for experimental purposes, and later for regular traffic. Or, alternatively, the cost of interstate communications could be borne by the institutions that use the network, either by being subsidized directly by the state or Federal Government, or through charges levied against the individual user.

Many European countries have already begun to provide communication links at lower tariff rates in order to influence and stimulate the development of national information systems.

The United States Government is in a position to give the whole nationwide library and information network an initial impetus by subsidizing low-cost rates until the entire scheme reaches a level of usage that ensures its economic viability.

(6) *To support research and development.* Transforming the nation's heterogeneous information facilities and services into a nationwide network will pose many new problems. Some of these problems will arise from the application of the new technology, some will derive from the effects of new information systems on users, and others will originate with the profession itself as it struggles with the dynamics of change.

A stronger Federal program of research and development, through grants and contracts, can provide an overall framework within which common investigations can be carried out. By concentrating specialized skills on crucial common problems, the Federal Government helps reduce duplicate and costly piecemeal research that would otherwise be performed by the states, provides for research and demonstration across jurisdictional boundaries and, at the same time, greatly accelerates the rate at which new methods and equipment can be transformed into operating systems.

For example, a Federal policy should be enunciated which encourages and facilitates the development of telecommunication technology and services especially suited to interlibrary communication (and another Federal policy should encourage the sharing of relevant computer software developed at government expense).

The Commission believes that a vigorous Federal research and development effort is essential. At present, the

Office of Science Information Service of the National Science Foundation (OSIS/NSF) is the principal component of government responsible for information science research in the field of science and technology. Its research programs are carried out in close cooperation with higher education, industry, and professional associations. Although OSIS/NSF research programs are generally concerned with the investigation of problems in the field of science information and problems of research libraries, methodologies and techniques developed for these specific purposes could be transferred to and used to good advantage in other fields. If the OSIS/NSF research and development programs were further strengthened and conducted in close collaboration with the Commission, they would most certainly yield many new insights into network organization standards, economics, technology, access, and use that would help accelerate the implementation of a national network of library and information service activities. Research and demonstration in library and information science and library training rests with the U.S. Office of Education, Library Research and Demonstration Program. Since its inception, this program has provided funding to organizations for the improvement of libraries and information science. Current focus is on consortia building, more efficient use of resources, and on groups with special or unmet needs (such as the economically disadvantaged, ethnic minorities, senior citizens, women) and on improvement of training in library and information science. Heaviest program emphasis has been on networks to be used by—and which are designed to serve as bases for—state, regional, and national networks.

(7) *To foster cooperation with similar national and international programs.* In recent years, computer and communications technology have made the concept of a worldwide information network a practical reality. As a result, many countries are trying to articulate their plans for national information programs with broader international plans.

Through the good offices of the United Nations Educational, Scientific and Cultural Organization (UNESCO), productive efforts are underway to achieve technical compatibility among national information systems in order to ensure that future international exchange of information will occur efficiently.

The United States, through the National Science Foundation already supports UNESCO's UNISIST (an acronymic term which stands for the feasibility study on the establishment of a world science information system) program, which is directed toward the more systematic development of international information services. The United States also participates actively in the information activities of the International Standards Office (ISO), the Universal Copyright Convention (UCC), the International Federation of Library Associations (IFLA), including its principal objective of Universal Bibliographic Control, the Organization for Economic Cooperation and Development (OECD), the Federation Internationale de Documentation (FID), and other related programs.

There are also some new developments in international standards which hold great promise for electronic processing of original input of bibliographic data, such as International Standard Bibliographic Descriptions for monographs and serials, proposed by the International Federation of Library Associations (IFLA) Committee on Cataloging. Final agreement on the precise terms of these standards should bring about substantial benefits to both libraries and users.

Americans need access to foreign publications and information, and vice versa. A worldwide network may, someday, enable people of any country to tap the knowledge resources of the world. A step closer to the attainment of this ideal can be taken if the proposed National Program supports a strong leadership role for the United States in the evolution of compatible information systems and networks throughout the world.

Organizational Relationships and Supporting Responsibilities

Figure I depicts the organizational relationships among government agencies and the private sector as envisioned for the National Program by the Commission.

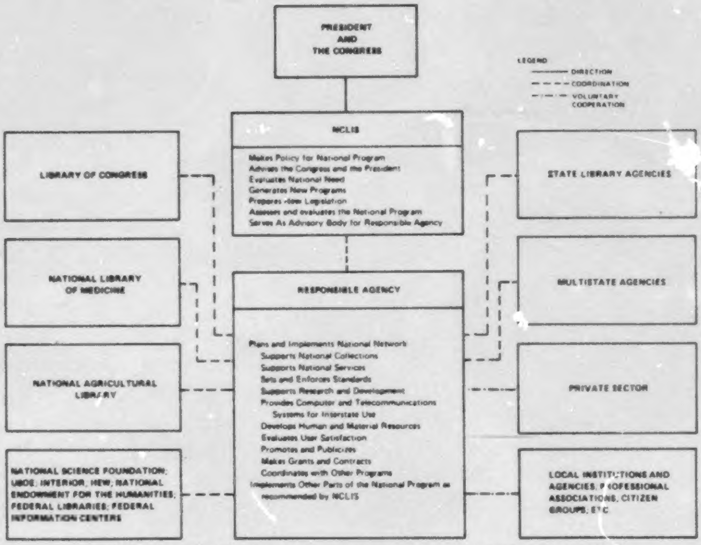

PRESIDENT
AND
THE CONGRESS
LEGEND
DIRECTION
COORDINATION
VOLUNTARY COOPERATION
NCLIS
Makes Policy for National Program
Advises the Congress and the President
Evaluates National Need
Generates New Programs
Prepares New Legislation
Assesses and evaluates the National Program
Serves As Advisory Body for Responsible Agency
LIBRARY OF CONGRESS
NATIONAL LIBRARY OF MEDICINE
NATIONAL AGRICULTURAL LIBRARY
NATIONAL SCIENCE FOUNDATION; USOE; INTERIOR; HEW; NATIONAL ENDOWMENT FOR THE HUMANITIES; FEDERAL LIBRARIES; FEDERAL INFORMATION CENTERS
RESPONSIBLE AGENCY
Plans and Implements National Network
Supports National Collections
Supports National Services
Sets and Enforces Standards
Supports Research and Development
Provides Computer and Telecommunications Systems for Interstate Use
Develops Human and Material Resources
Evaluates User Satisfaction
Promotes and Publicizes
Makes Grants and Contracts
Coordinates with Other Programs
Implements Other Parts of the National Program as recommended by NCLIS
STATE LIBRARY AGENCIES
MULTISTATE AGENCIES
PRIVATE SECTOR
LOCAL INSTITUTIONS AND AGENCIES, PROFESSIONAL ASSOCIATIONS, CITIZEN GROUPS, ETC.

FIGURE I. THE PROPOSED NATIONAL PROGRAM OF LIBRARY AND INFORMATION SERVICE

In addition to the Executive Branch of the Federal Government, there are three other key components in the proposed national network which are crucial to its success. First, there are the fifty states, all of whom have resources to contribute to the network and requirements to be filled by the network. Second, there is the Library of Congress, which is the keystone of the nation's bibliographic system and is uniquely able to perform centralized services vital to the network. Finally, there is the private sector, which contains a multitude of old and new information services which fulfill a large part of America's daily demand for information.

Responsibilities of State Governments. National goals in the field of library and information service cannot be achieved unless there is careful articulation between local, state, multistate, and national planning. It is the Commission's view that each of these levels in the nationwide program should bear its share of the total financial burden. For example, the Federal Government would fund those aspects of the network which support national objectives, and stimulate statewide and multistate library development needed to support the national program. The state government would accept the major share of the cost of coordinating and of supporting the intrastate components of the network, as well as a part of the cost of participating in multistate planning operations. Each state must recognize its responsibiilty to develop and sustain its own statewide program of library and information service. Such a program must commit the state to provide funding or matching funding for development of resources and services, including special forms of statewide network assistance and specialized services.

If this type of *quid pro quo* philosophy were adopted, and if incentive formulae were worked out to make local, state, multistate, and national financing mutually reinforcing, then a nationwide network could grow from the bottom up. To achieve this goal, however, requires that the responsibilities of the various levels be well defined, that financial obligations be clearly recognized and that legal commitments be made possible through appropriate statutes. Some states may decide to provide funding for the further development of library and information services within the state, while other states may elect to share funding with local governments.

It would be an important advance if the states would elect to prepare and/or update corresponding legislation setting forth statewide programs of library and information services, and specifically committing individual states to provide direct and matching funding.

Responsibility for fostering the coordination of library resources and services throughout a state has usually been assigned to a state library agency or to another agency with the same legal authority and functions. This agency is the natural focus for statewide planning and coordination of cooperative library and information services and for coordinating statewide plans with those of the Federal Government. Such agencies should solicit the widest possible participation of library, information, and user communities. Several states such as Illinois, New York, and Washington already have operational systems or networks which are in harmony with the Commission's program. The fifty states, however, must make a firm commitment to continuing support and funding of library and information activities at a level commensurate with the needs of their constituents.

State library agencies have a major role to play in the development of a nationwide program of library and information service. Many of these agencies now serve a significant planning and coordinating function in their respective states or in a multistate complex. Therefore, they should be considered partners by the Federal Government in developing and supporting useful patterns of service. Among the benefits which could accrue from such a partnership are greater possibilities for compatible programs and sustained funding through mutually-supportive efforts.

Proposed Federal legislation in support of library and information services must recognize that the states are at varying stages of developing their services; some states have not yet initiated plans, and others are in the early stages of planning, while still others are already implementing sophisticated programs. Some states have networks organized by type of library, others have networks that include all types of libraries, and still others have networks that include information agencies as well as libraries. Federal-state funding formulae must, therefore, be devised which will take into account these differences among the states and provide the means for supporting various levels of development.

Some of the advantages which would accrue to a state through its affiliation with, and participation in, a nationwide network are as follows:

(1) It would enable a state to get more information for its residents than it could possibly afford to amass through its own capital investment by providing them with access to the total information and knowledge resources of the country.

(2) It would enable a state to receive reduced-rate interstate telecommunications services through the Federal Telecommunications System or commercial channels. This asset alone would repay participation because it represents a share in a very sizeable Federal investment.

(3) It would enable a state to receive computer software, computer data bases, technical equipment, and other materials which derive from the Federal Government's library and information science research and development programs.

(4) It would ensure that the state's internal network plans are

developed in harmony with Federal plans, and thus reduce the possibility of large-scale modification costs in the future.

(5) It would enable a state to receive matching funding from the Federal Government to provide incentives for bringing state and local collections and services up to national standards.

(6) It would enable a state to receive matching funding from the Federal Government to initiate network operations within the state at levels consistent with the time-frame and scope of the national network.

(7) It would enable the state to spend its library dollars optimally by investing mainly for general state and local needs and relying on the nationwide network for additional specialized materials, for interstate services, and for other services of common concern.

Multistate groups are forming in different parts of the country to provide a mechanism for planning a regional network program among several states. Such groups are usually organized when two or more states decide to pool their financial and other resources for a specific purpose, i.e., for developing an all inclusive library and information program. Some multistate groups are created by interstate compact, some are incorporated, and others function less formally. Where a legal entity does exist for a multistate group, the participating states must decide how financial support from the Federal Government can be channeled to the new organization.

Figure II is a table comparing the National Program responsibilities of the Federal Government and state governments.

Responsibilities of the Private Sector. The private sector is defined as organizations (either for-profit or not-for-profit) which are not directly tax supported. Success of a National Program depends on the degree to which the private sector of the nation carries out its responsibilities toward the growth and coordination of libraries and information centers. As a major producer of cultural, scientific, technical, and industrial information, the private sector must take on greater responsibility toward developing the information resources of the nation.

The private sector should recognize its own special libraries and information centers as windows on the nation's information resources. Without support from parent organizations, without establishment of new special libraries where series gaps are apparent, the private sector will not only shirk its responsibilities, but will diminish its credibility as an interested participant in the National Program. Special libraries are a peculiarly American invention; and it is hoped that the leaders of business and industry who employ professional personnel as an investment to put knowledge to work for them will encourage shared resources through the National Program as a reasonable response to a national need. The private sector should work closely with the public sector in order to produce materials and provide services which will make the national network both useful and cost-effective. The private sector is already contributing toward improved products on the basis of competition in the marketplace.

FUNCTION	FEDERAL	STATE
GOAL	To foster cooperative programs within each state and among states by providing federal funding to inaugurate or continue intertype networks at appropriate levels, to demonstrate and test and evaluate them, to support them with technology and to help them move toward financial self-sufficiency.	To develop and operate networks of library and information resources within the state with federal and state funds expressly earmarked for this purpose within the first three years of the law, and provide for interfacing the intrastate networks with multistate and national networks of all types.
FUNDING	To increase funding and aid in the operation and improvement of basic library and information services at all levels.	To engage in funding programs which ensure that local requirements for materials and information services sufficient to meet the needs of their constituencies are indeed met.
PLANNING AND COORDINATION	To coordinate the Federal Program with the states and with multistate groups.	To establish and maintain mechanisms for coordinating state programs with federal and multistate programs.
NETWORK DEVELOPMENT	To create a federal library and information network that will make available the information resources of federal agencies and to coordinate and develop access mechanisms to the resources of the nation.	To create a statewide library and information network that will make available the information resources of state government agencies to the local level and to coordinate and develop access mechanisms to the resources of a region.
BIBLIOGRAPHIC SERVICE	To establish and/or support those bibliographical services of nationwide concern that are best carried out on a centralized basis.	To provide means by which national bibliographic services may be used within the state or among states.
UNIQUE COLLECTIONS	To designate and help sustain unique, national collections and access mechanisms that all states may use as back-up to their own resources.	To designate and sustain for service to the people of the state major collections and access mechanisms for wider internal use and greater self-sufficiency within the state.
STANDARDS	To establish and promulgate technical standards and to facilitate interconnection across state lines.	To develop means for erasing artificial barriers to cooperation. To support and monitor observance and implementation of standards set by the National Program.

FIGURE II. FEDERAL AND STATE RESPONSIBILITIES IN THE NATIONAL PROGRAM

FUNCTION	FEDERAL	STATE
COMPUTER SUPPORT	To help each state or multistate region establish computer support services for technical processing and public service purposes. To provide electronic access to the national data base.	To produce and/or provide access to union lists, cumulative indices, directories, and other bibliographic tools to support rapid identification, access, and referral within the state. To coordinate and assist in developing computer support for individual library processing.
TELECOMMUNICATIONS SUPPORT	To provide telecommunications at low tariff rates, for interstate library and information exchange.	To foster and facilitate low cost communications between and among libraries and other information facilities within the state.
RESEARCH AND DEVELOPMENT	To perform and/or support research, development, and evaluation in areas of nationwide concern or potential; to monitor developments in library and information services; and to disseminate information relating to the above activities.	To perform and/or support research, development, and evaluation in areas of statewide or multistate concern or potential; to monitor developments in library and information services; and to disseminate information relating to the above activities.
EDUCATION AND TRAINING	To fund education and training programs in modern library and information science through fellowships, intern programs, etc.	To provide guidance to federal and state authorities in the development of educational standards, the definition of needed skills, and the installation and evaluation of feed-back mechanisms. States alone or in cooperation with other states have a responsibility for continuing education.
PUBLICITY AND PROMOTION	To plan and carry out programs to inform potential users of the services available through the national network and to actively encourage the use of these services.	To plan and carry out educational and promotional programs tailored to the state and region.
EVALUATION	To continually assess the progress of the National Program and to change plans and directions accordingly.	To monitor and evaluate the effectiveness of state and regional programs vis a vis the National Program and plan new state programs where needed.

FIGURE II. FEDERAL AND STATE RESPONSIBILITIES IN THE NATIONAL PROGRAM (Cont.)

Facilitating the active participation of the private sector in the development of a national information system may require legislative authority. A new orientation to Federal funding and user economics may also be required to harmonize the traditional library information systems with the newer commercial and other specialized information services.

The exact role of the private sector in a national information program is not yet known. The Commission believes that this area will require intensive study and full collaboration with many different organizations before a meaningful legislative recommendation can be developed.

Responsibilities of the Library of Congress. Among the national facilities with which the Commission is concerned, the largest and the most important to the success of the proposed National Program is the Library of Congress. Because of its size, stature, and comprehensive collections, the Library of Congress is the hub of the nation's bibliographic apparatus for monographs and serials. The National Library of Medicine and the National Agricultural Library complement the Library of Congress by specializing in their respective fields. All three libraries play a vital role in the library and information programs of the nation. Although the Library of Congress is not officially designated as a national library, it is *de facto* a national library: it performs many common processing services, and provides many user services for libraries throughout the country. It receives and catalogs the bulk of the same titles received by other American libraries, and the intellectual work which it does centrally obviates the need for local duplication. The National Union Catalog, the Card Distribution Service, and the MARC (Machine Readable Cataloging) Program, which includes making current cataloging information available on magnetic tape, are prime examples of the central work done by the Library of Congress which accrues to the benefit of most American libraries.

The participation of the Library of Congress is crucial to the development of a National Program and to the operation of the nationwide network because it has the capacity and the materials to perform many common services in both the areas of technical processing and reference and because it can set national bibliographic standards for the program. New legislation may be needed to designate the Library of Congress as having responsibilty for integral aspects of the National Program.

The Commission believes that the Library of Congress should be designated as the National Library. In its role as a National Library it should accept the following responsibilities in the National Program:

(1) Expansion of the lending and lending-management function of the Library to that of a National Lending Library of final resort. The Library of Congress has been interlibrary lending a variety of its materials to other libraries for many years. In the development of a national system of information resources, there will be complexes of collections organized for sequential service levels. Loan of library and information materials will, in some cases, have to come from the most comprehensive collection, that of the Library of Congress. To fulfill this requirement for backstopping the other significant resources in the nation, and to do so

without infringing on the need to protect its collections for future use, will require extended new arrangements. Such arrangements will incorporate the purchase of some materials for loan and, in some cases, the use of microforms to produce, simultaneously, a preservation copy and a print copy for loan. Development and management of the components of this extended service, including arrangements for added collections, a new system of interlibrary communications, a new mechanism for obtaining copyright permission, and improved document and text delivery techniques, will be required.

(2) Expansion of coverage of the National Program for Acquisitions and Cataloging (NPAC). This program, to acquire, catalog quickly and disseminate cataloging data rapidly for all current works of research value, has been progressing for over six years. In that time, the percentage of materials acquired and cataloged from all sources, to meet the expressed needs of the library and research community of the United States, has climbed from fifty percent to seventy-five percent. The Commission believes that the Library of Congress should seek to acquire, catalog and process for current and future use, a larger percentage of the world output. With the expenditure of approximately $15 million per year by the Library of Congress for such a purpose, it is estimated that there would be a fourfold national saving for research libraries alone, as well as additional significant national benefits. This is the kind of economy of scale that a coordinated National Program could bring about.

(3) Expansion of Machine-Readable Cataloging (MARC) to include cataloging in substantially all languages of current monographic, serial, and other significant library and information materials being acquired by the Library of Congress; distribution of this data base, perhaps to state and regional centers and other national network nodes for library and information service. This project, to extend what has already become a landmark service for the public, university and research libraries, and information centers of the nation, is essential for the effective operation of the bibliographic apparatus of the Library of Congress and other research libraries and information agencies. The task of maintaining bibliographic control of the increasing amount of significant library and information materials

acquired by the Library of Congress is best accomplished using automated methods. Improved access to these materials cannot be provided without the application of computer processing to a machine-readable cataloging record.

(4) Distribution of bibliographic data through on-line communication. With the promise of acquisition and cataloging of most of the significant publications of the world, including serials, the potential of a complete machine-readable data base can be fulfilled if a central organization speeds the products of these services to the user through his library and information service network. Full utilization of the technology of on-line access and distribution networks must be accomplished as early as the technology makes this economically possible. Some of the products expected are automatic creation of local machine-stored catalogs of local or remote collections, custom-made bibliographies from large data bases, intercoupling of user requests with current cataloging to eliminate delay in availability of recently acquired items, and remote instantaneous delivery of very recent cataloging production.

(5) Development of an expanded general reference program to support the national system for bibliographic service. This would include faster means of communication with other libraries, particularly when the Library of Congress may be the sole source in the nation for the needed information. It would also include an expanded, rapid-response, referral service to other sources of information.

(6) Operation of a comprehensive National Serials Service that will integrate and expand the present serials activities of the Library and provide an organized set of serial services for the nation. Serials constitute the greatest number of individual items in many libraries. Their ordering, receipt, cataloging, indexing, servicing, and preservation consume a sizeable portion of the budget and considerable staff time. National efforts can substantially benefit all libraries, make their work with serials more effective and less costly, and improve the accessibility of serial literature to users.

(7) Establishment of a technical services center to provide training in, and information about, Library of Congress techniques and processes, with emphasis on automation. The center's training program would answer the demand for a more detailed knowledge of the Library of Congress's

technical services than can be otherwise gained. It would be developed gradually, would be flexible, and would offer specialized instruction to meet particular needs. It would permit librarians in the field to be brought to the Library of Congress for training, and enable the Library of Congress staff to go out to libraries. The center's information program would be two-way, seeking information from other libraries as to their needs and, concurrently, providing them with up-to-date information about the Library of Congress's technical services. Its staff would make possible expansion of present programs involving communication, consultation, technical institutes, and publication.

(8) Development of improved access to state and local publications and cooperation with state and local agencies to standardize cataloging and other techniques of organization. Potentially useful information in state and local governmental publications is not now widely accessible to users, because it is not uniformly printed, collected, announced, organized, preserved, and publicized.

(9) Further implementation of the national preservation program. The physical deterioration of library materials, particularly those printed on paper produced since the middle of the Nineteenth Century, poses increasingly critical problems for libraries. The solution to this problem lies partly in increased research in preservation methods. Inasmuch as the Library of Congress has already mounted an important effort in this area, a further modest increase would speed the time at which viable solutions are available. Additional funds for filming vital materials, for restoring rare materials, and for transferring deteriorated materials into microform are equally important. Funds are also essential to train the added conservators and preservation specialists needed to retain the record of civilization housed in the nation's libraries.

Proposed Legislation

Future legislation will have as its objective the nationwide network and will outline the role of the Federal Government, the national libraries, and the states in its development and implementation. It will also specify the functions which should be performed centrally; it will establish the basis for appropriate Federal-state and state-local matching funding to guarantee a continuing Federal and state investment; it will establish a locus of Federal responsibility for implementing the policies and programs of the National Commission; and it will provide a framework for active private sector participation. Finally, legislation must safeguard the various aspects of privacy, confidentiality, and freedom of expression. The Commission's intent is to create a program that is going to enforce, enliven, and enspirit this country's creative powers, so that more can be achieved with our total intellectual and knowledge capacities. The Commission sees the National Program as a force for productivity and creativity, and not as an authoritative and inhibitive constraint which would control the behavior of people.

Funding

Beginning in 1956, with the passage of the Library Services Act by the Congress, the Federal Government has gradually assumed responsibility for programs of financial assistance to libraries. There are some who view the continued financial support of libraries by the Federal Government with alarm, because of the inferred fear that the bureaucracy will, sooner or later, stifle intellectual freedom. Certainly, the availability of government money for libraries during the past twenty years disproves this theory. The Commission believes that the American public not only accepts the principle of Federal funding for libraries, but also equates it with the Federal responsibility for public education.

Federal assistance programs for libraries have been for the acquisition of materials, the provision of new services, library training and research, new building construction, aid to special groups, and so forth. They have affected public libraries, school libraries, college and university libraries. A small portion of the funds under Title III of LSCA have also been available for interlibrary cooperation. At the close of 1972, the total sum in the annual Federal budget for library grant programs amounted to $140 million. In addition, the National Science Foundation and other government agencies have funded specific projects involving libraries, indexing and abstracting services, and other organizations in the information community. The Federal Government also supports three major libraries: the Library of Congress; the National Library of Medicine; and the National Agricultural Library. As a result, these institutions are able to perform many important national library functions that benefit the people of the United States.

In 1973, the Administration recommended the elimination of Federal grant programs for libraries. It recommended revenue sharing as an alternative method of supporting libraries, and the General Revenue Sharing Act qualified libraries to receive appropriations for operating expenses. The preponderance of testimony to the Commission indicates that the revenue sharing mechanism does not work well for libraries. The revenue sharing mechanism is unsatisfactory for libraries because it forces them to compete for funds with local governments and their utilitarian agencies, such as the police and fire departments. As educational agents in the community, libraries provide long-range services to all people, but, unfortunately, it is difficult to justify this as a local priority when conspicuous utilitarian problems need immediate correction. As a result, city officials in some cities are reluctant to share some revenue with libraries. Indications received by the Commission thus far reveal that, in some localities, revenue sharing money is offsetting normal operating budgets of libraries, rather than providing them with funds for new programs and services. In such circumstances, it is unlikely that revenue sharing funds will have any impact at all on cooperative action programs or intersystem planning.

Recent actions by the Congress have restored appropriations for many of the categorical aid programs which were eliminated, but the policy of the Administration continues to favor their eventual termination. The President's budget for fiscal year 1975, released for information and Congressional action in January 1974, mentioned a new Federal initiative in the area of library services. It outlines the provisions of new legislation, called the Library Partnership Act. This proposed bill calls for the improvement of library services through a system of grants fostering interlibrary cooperation and through demonstrations of basic library services where these are nonexistent or marginal. The general purposes of the bill are akin to those of Title III of the LSCA with the objectives more closely specified and the eligible community broadened.

While the Commission endorses individual activities which benefit libraries and users of libraries, it is even more strongly disposed to support a well-planned, comprehensive program for library and information services, one that will benefit the entire nation. Categorical aid available to libraries under an array of authorizations has resulted in improved library services in all types of libraries. However, many of the worthy goals are yet to be achieved. The Commission believes that categorical aid must be continued and strengthened until a comprehensive new program is authorized and adequately funded.

States and local governments vary greatly in the amount of financial assistance they give to libraries. Moreover, the way Federal funds are used within the states varies widely. Some have used the money for state-level direction and coordination, while others have spent it on new or improved local services. The Federal principle of requiring matching funds from the state and/or local governments has, itself, had varied effects. In some instances, it has led states to originate state programs that didn't exist before. In other cases, it has not yet achieved matching state aid for libraries. However, in general, wealthy states have been able to take greater advantage of the opportunity than poor states, even though the real need may have been greater among the latter.

Past Federal funding has succeeded in fulfilling part of the original objectives of Federal legislation, but by no means all of them. An enlightened public policy of support for libraries and other information activities, and continuing financial assistance, are dual objectives which the Commission considers vital to the National Program. If the nation is to look forward to constructive development and utilization of knowledge resources throughout the country, an infusion of financial assistance on a large scale is mandatory, and the United States must also revise its philosophy on how Federal and state funding should be allocated to support this nationwide purpose. What is needed is a program of balanced intergovernmental funding.

It is premature to stipulate the criteria for requesting financial assistance from the Federal Government under the National Program, but some suggestions are here put forward for consideration. For example, each recipient would be asked in advance to:

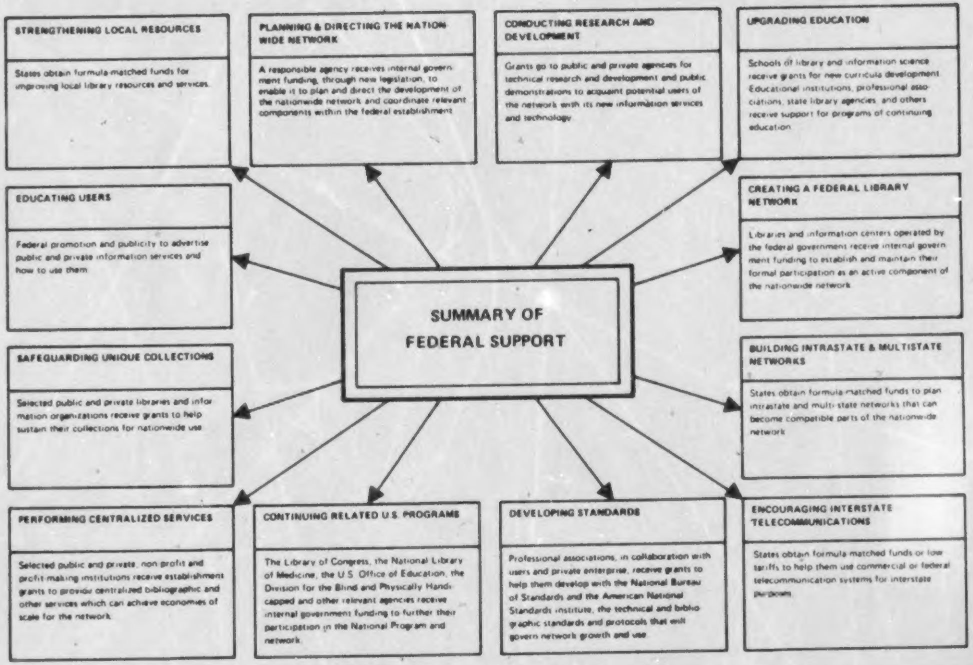
- Request support only for programs that are consistent with National Program aims and objectives.
- Be willing to subscribe to, and to utilize, national bibliographic, technical, and other standards.
- Provide assurance that successful programs, basic to a library's mission, and begun with Federal funds, will be sustained by the recipient for at least several years.
- Stipulate that Federal funds would not be used to offset or dilute financial responsibility locally, regionally, or at the state level to meet prescribed levels of service.
- Match Federal funds with local or state funds according to a formula based on factors other than merely population or per capita income.
- Develop a mutually-compatible formula for matching funds between the state and local governments similar to that between the state and Federal Government.
- Adhere to the protocols and conventions of use established for the nationwide network.

Principles and criteria, like those above, will have to be arrived at by careful study and discussion by all parties concerned, after which they will need to be incorporated in new legislation for the National Program. The Commission expects to devise these guidelines in cooperation with representatives from the public and private sectors. In recognition of the wide divergence of development existing among the states and other agencies in the private sector, it is expected that future funding would support three different levels of need:

(1) To help establish or initiate new programs;
(2) to help strengthen existing programs; and
(3) to help extend the scope of successful programs.

Until a carefully articulated funding policy is worked out for the National Program, and until new legislation is passed to implement the National Program, the Commission strongly favors the continuation of categorical aid under existing titles, with appropriate revisions for strengthening and expansion and with special emphasis on Title III, LSCA, in order to maintain national momentum toward cooperative projects and networking.

Figure III depicts the type and purpose of Federal funding support required for the National Program.



STRENGTHENING LOCAL RESOURCES

States obtain formula-matched funds for improving local library resources and services.

PLANNING & DIRECTING THE NATIONWIDE NETWORK

A responsible agency receives internal government funding, through new legislation, to enable it to plan and direct the development of the nationwide network and coordinate relevant components within the federal establishment.

CONDUCTING RESEARCH AND DEVELOPMENT

Grants go to public and private agencies for technical research and development and public demonstrations to acquaint potential users of the network with its new information services and technology.

UPGRADING EDUCATION

Schools of library and information science receive grants for new curricula development. Educational institutions, professional associations, state library agencies, and others receive support for programs of continuing education.

EDUCATING USERS

Federal promotion and publicity to advertise public and private information services and how to use them.

CREATING A FEDERAL LIBRARY NETWORK

Libraries and information centers operated by the federal government receive internal government funding to establish and maintain their formal participation as an active component of the nationwide network.

SAFEGUARDING UNIQUE COLLECTIONS

Selected public and private libraries and information organizations receive grants to help sustain their collections for nationwide use.

BUILDING INTRASTATE & MULTISTATE NETWORKS

States obtain formula-matched funds to plan intrastate and multi-state networks that can become compatible parts of the nationwide network.

PERFORMING CENTRALIZED SERVICES

Selected public and private, non profit and profit-making institutions receive establishment grants to provide centralized bibliographic and other services which can achieve economies of scale for the network.

CONTINUING RELATED U.S. PROGRAMS

The Library of Congress, the National Library of Medicine, the U.S. Office of Education, the Division for the Blind and Physically Handicapped and other relevant agencies receive internal government funding to further their participation in the National Program and network.

DEVELOPING STANDARDS

Professional associations, in collaboration with users and private enterprise, receive grants to help them develop with the National Bureau of Standards and the American National Standards institute, the technical and bibliographic standards and protocols that will govern network growth and use.

ENCOURAGING INTERSTATE TELECOMMUNICATIONS

States obtain formula matched funds or low tariffs to help them use commercial or federal telecommunication systems for interstate purposes.

FIGURE III. PROPOSED COORDINATED FEDERAL SUPPORT TO IMPLEMENT THE NATIONAL PROGRAM

Chapter IV

Conclusion

The Commission believes that the country's library and information services are not yet organized to meet the needs of the nation as a whole. Different libraries and information services are, indeed, performing important services for their respective clienteles, but, as a group, they are developing haphazardly. The Commission believes the time has come for the nation to change direction by henceforth treating recorded information and knowledge as a national resource and making the benefits of library and information services available for all the people. Such action would prove a great intellectual catalyst for the country and place the United States in a stronger position to cope with its own economic and social problems. If we continue traditional practices much longer, the Commission fears that, within the span of only a few years, America will be faced with information chaos that will work against the country's best interests.

Deficiencies in current resources and services demand careful planning for the systematic development of material and human resources, the continuing education of professional and paraprofessional personnel, an adequate financial base for libraries and other information-handling units, the cost-effective application of new technologies, and the development of a spirit of cooperation without which no nationwide plan for improved services can succeed.

A major transformation of the library and information structure in this country is required. The new structure must be based on a new philosophy of service and a new Federal and state investment policy. Success will depend on sound planning by each and every library and information center, on dedication to a common sense of direction and purpose, on a commitment to national cooperative action, and on new Federal policies which treat information as a national resource.

Such a program implies an unprecedented investment in libraries and information centers by Federal, state, and local governments. Merely continuing the past practice of giving small grants to the states for individual libraries or for uncoordinated systems development will not do the job. The Commission believes that the Federal Government must bear a permanent responsibility for preserving and maintaining the knowledge resources of the nation and for making a specific commitment to their interdependent development.

The proposed National Program implies changes in jurisdictional arrangements, in forms of bibliographic processing, in patterns of service, and in funding practices. These changes will come about gradually, and it will take considerable time to achieve substantial results. Strong resources must, therefore, continue to be built at the local, state, and regional levels with Federal assistance while the new basis for a nationwide network is being prepared.

We on the Commission believe that the profession is prepared and is ready to advance traditional librarianship, to apply computer and communication technology, and to work together in creating the strongest possible information services for the country.

America must not forget her dream of individual freedom and of an open approach to learning and knowledge. The Commission firmly believes that recorded knowledge is a national resource and its nationwide access a national responsibility. It urges the American people, through Federal, state, and local governments, and public and private institutions to support a nationwide program of library and information service as a high-priority national goal.

References and Notes

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(2) *American Library Directory, 28th Edition,* New York, R.R. Bowker Company, 1972.

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(4) Libraries in the United States: public libraries—8,366*; academic libraries—3,000 (est.)*; Federal libraries—2,313*; special libraries (other than Federal)—12,000**; school libraries—65,000 (est.)*; Total—90,679. Figures having an * were supplied by the National Center for Education Statistics, USOE; those having ** were supplied by the Special Libraries Association.

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Glossary

The language of modern library and information science is derived from several disciplines. This Glossary defines the principal technical terms used by the Commission in preparing this document.

Bibliographic Control

The uniform identification of items of recorded information in various media and the availability of a mechanism for gaining subsequent access to such information.

Consortium

A formal association of libraries and other organizations, having the same or interrelated service or processing objectives.

Constituency

A particular user group with specialized requirements for library and information service.

Data Bases

Files of bibliographic or other information recorded on magnetic tape or disk for computer processing.

Facsimile

The electronic transmission of an exact duplicate of a page, a graphic, or a film image.

Federal

Synonymous with the United States Government.

Federal Agency

A component of government in the Executive or Legislative Branch of the Federal establishment.

Hardware

The physical equipment in a data processing or other machine system (as contrasted with software).

Information

Includes facts and other recorded knowledge found in books, periodicals, newspapers, reports, audiovisual formats, magnetic tapes, data banks (bases), and other recording media. (The word "information," in this document is used interchangeably with the word "knowledge.")

Information Center

A library or other facility that emphasizes the analysis, evaluation, and synthesis of information.

Information Industry

Certain organizations in the for-profit part of the private sector which process, store, or disseminate information under contractual or sales arrangements. Examples of components of the information industry include: abstracting and indexing services; data base producers; reprint houses; commercial information retrieval services, etc.

Information Scientist

A specialist in systems analysis, computers, communications, micrographics, and other technology based means for processing information.

Information Technology

Refers to the application of computers, telecommunications, micrographics, audiovisuals, and other equipment, techniques, and materials for making information available to people.

Interface

The area or mechanism of contact and interaction between any two systems, subsystems, or organizations. An interface may be technical (e.g., electronic) or administrative.

Interlibrary Cooperation

Informal agreements between and among libraries to participate in a specific process or service for mutual benefit.

Librarian

A specialist in the organization, management, and utilization of recorded information.

Library

An institution where diverse information is stored, systematically organized, and where services are provided to facilitate its use. It may contain books, films, magazines, maps, manuscripts, microfilms, audiovisual materials, tape recordings, computer tapes, etc. It also provides information services to requesters from its own and from outside resources.

Multistate Affiliations

Regional arrangements (by informal agreement, compact, or by contract) among states or statewide agencies to pursue common library and information programs.

National

Refers to interests that transcend local, state, and regional concerns. The term is also used to refer to organizations whose operations embody or serve these broader interests.

National Bibliographic Center

A place where the basic record for each bibliographic item is created (or verified) and held to serve the full range of needs of libraries, information centers, abstracting and indexing services, and national and trade bibliographies.

National Lending Library

A central library, within a country, responsible for acquiring at least one copy of a prescribed class of material and making it available to other libraries by loan or photocopy service.

National Plan

The phased schedule by which the National Program is implemented to meet its program objectives.

National Program

An organized and articulated statement prepared to provide for the coherent development of library and information activities in the United States to meet the needs of its people.

Nationwide

That which extends throughout the country.

Network

Two or more libraries and/or other organizations engaged in a common pattern of information exchange, through communications, for some functional purpose. A network usually consists of a formal arrangement whereby materials, information, and services provided by a variety of types of libraries and/or other organizations are made available to all potential users. (Libraries may be in different jurisdictions but agree to serve one another on the same basis as each serves its own constituents. Computers and telecommunications may be among the tools used for facilitating communication among them.)

On-line Retrieval Services

Retrieval services involving direct interactive communication between the user at a terminal and the computer programmed to provide access to one or more data bases.

Private Sector

Organizations not directly tax supported. Includes organizations outside of government such as profit-making companies and not-for-profit institutions, which produce, process, store, or disseminate information.

Public Sector

Organizations directly tax supported.

Regional Resource Center

An institution especially chartered to provide a common service to a cooperative of libraries in differing political jurisdictions.

Software

The intellectual instructions—such as a computer program—which govern machine operations.

State Library Agency

The official agency of a state charged by the law of that state with the extension and development of public library services throughout the state. This agency has adequate authority under the law of the state to administer state plans in accordance with the provisions of the Library Services and Construction Act, and is generally responsible for statewide planning and coördination of cooperative library and information services.

System

An organization of people, machines, material resources, and procedures, designed to accomplish a given purpose or set of purposes. A system may exist within a library or information activity, or it may exist when two or more library or information activities agree to participate in a common service program utilizing their resources.

Telecommunication

The exchange of information by electrical transmission.

Telefacsimile

See Facsimile.

User

Any individual or group with a desire, no matter how casual or how serious, to use libraries and information facilities.

Listing of Related Papers

1. Relationship and Involvement of the State Library Agencies with the National Program Proposed by NCLIS—Alphonse F. Trezza, Director, Illinois State Library
2. Role of the Public Library in the National Program—Allie Beth Martin, Director, Tulsa City/County Library System
3. The Relationship and Involvement of the Special Library with the National Program—Edward G. Strable, Manager, Information Services, J. Walter Thompson Company—Chicago
4. The Independent Research Library—William S. Budington, Executive Director and Librarian, The John Crerar Library
5. The Information Service Environment Relationships and Priorities—Paul G. Zurkowski, President, Information Industry Association
6. Manpower and Educational Programs for Management, Research, and Professional Growth in Library and Information Services—Robert S. Taylor, Dean, School of Information Studies, Syracuse University
7. School Library Media Programs and the National Program for Library and Information Services—Bernard M. Franckowiak, School Library Supervisor, Wisconsin Department of Public Instruction
8. National Program of Library and Information Services of NCLIS: Implication for College and Community College Libraries—Beverly P. Lynch, Executive Secretary, Association of College and Research Libraries, American Library Association
9. The National Library Network, Its Economic Rationale and Funding—Robert M. Hayes, Dean, Graduate School of Library and Information Science, University of California
10. Intellectual Freedom and Privacy: Comments on a National Program for Library and Information Services—R. Kathleen Molz, Chairman, Intellectual Freedom Committee, American Library Association
11. International Library and Information Service Develop-

ments as they Relate to the National Commission on Libraries and Information Science—Foster E. Mohrhardt, Former President, Association of Research Libraries and American Library Association

12. An Economic Profile of the U.S. Book Industry—Curtis G. Benjamin, Consultant, McGraw Hill, Inc.
13. The Role of the Information Center in the National Commission on Libraries and Information Science Program for the Improvement of National Information Services—Herman M. Weisman, Manager, Information Services, National Bureau of Standards
14. The Relationship of the Government and the Private Sector in the Proposed National Program—David Carvey, Vice President, Disclosure, Inc.
15. New Federal Authority and Locus of Responsibility—John Bystrom, Professor of Communication, University of Hawaii
16. Relationship and Involvement of the Multi-State Library and Information Community with the National Program for Library and Information Services—Maryann Duggan, Director, Continuing Education and Library Resources Program-WICHE
17. The Future of Federal Categorical Library Programs—Robert Frase, Consulting Economist
18. Availability and Accessibility of Government Publications in the National Program for Library and Information Services—Bernard Fry, Dean, Graduate Library School, Indiana University
19. Cost Comparisons of Alternative Bibliographic Access Systems—Saul Herner, President, Herner and Company
20. University Libraries and the National Program for Library and Information Services—John McDonald, Executive Director, Association of Research Libraries
21. Federal Libraries and Information Centers—James Riley
22. Quantitative Data Required to Support and Implement a National Program for Library and Information Services—Theodore Samore, School of Library Science, The University of Wisconsin-Milwaukee
23. Urban Information Centers and their Interface with the National Program for Library and Information Services—Jane E. Stevens, Library Science Department, Queens College

24. The Role of Professional Associations in the National Program for Library and Information Services—Roderick G. Swartz, Formerly Deputy Director, National Commission on Libraries and Information Science
25. The Role of Not-For-Profit Discipline-Oriented Information-Accessing Services in a National Program for Library and Information Services—Fred A. Tate, Assistant Director for Planning and Development, Chemical Abstracts Service
26. The Impact of Machine-Readable Data Bases on Library and Information Services—Martha Williams, Director, Information Retrieval Research Laboratory, University of Illinois at Urbana-Champaign
27. The Role of The United States Book Exchange in the Nationwide Library and Information Services Network—Alice Dulany Ball, Executive Director, The United States Book Exchange, Inc.

Appendix I

Public Law 91-345

Public Law 91-345
91st Congress, S. 1519
July 20, 1970
As amended by Public Law 93-29, Section 802, May 3, 1973

An Act

To establish a National Commission on Libraries and Information Science, and for other purposes.

Be it enacted by the Senate and House of Representatives of the United States of America in Congress assembled, That this Act may be cited as the "National Commission on Libraries and Information Science Act".

National Commission on Libraries and Information Science Act.

STATEMENT OF POLICY

SEC. 2. The Congress hereby affirms that library and information services adequate to meet the needs of the people of the United States are essential to achieve national goals and to utilize most effectively the Nation's educational resources and that the Federal Government will cooperate with State and local governments and public and private agencies in assuring optimum provision of such services.

COMMISSION ESTABLISHED

SEC. 3. (a) There is hereby established as an independent agency within the executive branch, a National Commission on Libraries and Information Science (hereinafter referred to as the "Commission").

(b) The Department of Health, Education, and Welfare shall provide the Commission with necessary administrative services (including those related to budgeting, accounting, financial reporting, personnel, and procurement) for which payment shall be made in advance, or by reimbursement, from funds of the Commission and such amounts as may be agreed upon by the Commission and the Secretary of Health, Education, and Welfare.

84 STAT. 440
84 STAT. 441

CONTRIBUTIONS

SEC. 4. The Commission shall have authority to accept in the name of the United States grants, gifts, or bequests of money for immediate disbursement in furtherance of the functions of the Commission. Such grants, gifts, or bequests, after acceptance by the Commission, shall be paid by the donor or his representative to the Treasurer of the United States whose receipts shall be their acquittance. The Treasurer of the United States shall enter them in a special account to the credit of the Commission for the purposes in each case specified.

FUNCTIONS

SEC. 5. (a) The Commission shall have the primary responsibility for developing or recommending overall plans for, and advising the appropriate governments and agencies on, the policy set forth in section 2. In carrying out that responsibility, the Commission shall—

(1) advise the President and the Congress on the implementation of national policy by such statements, presentations, and reports as it deems appropriate;

Advice to President and Congress.

(2) conduct studies, surveys, and analyses of the library and informational needs of the Nation, including the special library and informational needs of rural areas, of economically, socially, or culturally deprived persons, and of elderly persons, and the means by which these needs may be met through information centers, through the libraries of elementary and secondary schools and institutions of higher education, and through public, research, special, and other types of libraries;

Studies, surveys, etc.

(3) appraise the adequacies and deficiencies of current library and information resources and services and evaluate the effectiveness of current library and information science programs;

(4) develop overall plans for meeting national library and informational needs and for the coordination of activities at the Federal, State, and local levels, taking into consideration all of the library and informational resources of the Nation to meet those needs;

(5) be authorized to advise Federal, State, local, and private agencies regarding library and information sciences;

(6) promote research and development activities which will extend and improve the Nation's library and information-handling capability as essential links in the national communications networks;

Report to President and Congress.

(7) submit to the President and the Congress (not later than January 31 of each year) a report on its activities during the preceding fiscal year; and

(8) make and publish such additional reports as it deems to be necessary, including, but not limited to, reports of consultants, transcripts of testimony, summary reports, and reports of other Commission findings, studies, and recommendations.

Contract authority.

(b) The Commission is authorized to contract with Federal agencies and other public and private agencies to carry out any of its functions under subsection (a) and to publish and disseminate such reports, findings, studies, and records as it deems appropriate.

Hearings.

(c) The Commission is further authorized to conduct such hearings at such times and places as it deems appropriate for carrying out the purposes of this Act.

(d) The heads of all Federal agencies are, to the extent not prohibited by law, directed to cooperate with the Commission in carrying out the purposes of this Act.

84 STAT. 441
84 STAT. 442

MEMBERSHIP

Appointments by President.

SEC. 6. (a) The Commission shall be composed of the Librarian of Congress and fourteen members appointed by the President, by and with the advice and consent of the Senate. Five members of the Commission shall be professional librarians or information specialists, and the remainder shall be persons having special competence or interest in the needs of our society for library and information services, at least one of whom shall be knowledgeable with respect to the technological aspects of library and information services and sciences, and at least one other of whom shall be knowledgeable with respect to the library and information service and science needs of the elderly. One of the members of the Commission shall be designated by the President as Chairman of the Commission. The terms of office of the appointive members of the Commission shall be five years, except that (1) the terms of office of the members first appointed shall commence on the date of enactment of this Act and shall expire two at the end of one year, three at the end of two years, three at the end of three years, three at the end of four years, and three at the end of five years, as designated by the President at the time of appointment, and (2) a member appointed to fill a vacancy occurring prior to the expiration of the term for which his predecessor was appointed shall be appointed only for the remainder of such term.

Terms of office.

Compensation, travel expenses.

(b) Members of the Commission who are not in the regular full-time employ of the United States shall, while attending meetings or conferences of the Commission or otherwise engaged in the business of the Commission, be entitled to receive compensation at a rate fixed by the Chairman, but not exceeding the rate specified at the time of such service for grade GS-18 in section 5332 of title 5, United States Code, including traveltime, and while so serving on the business of the Commission away from their homes or regular places of business, they may be allowed travel expenses, including per diem in lieu of subsistence, as authorized by section 5703 of title 5, United States Code, for persons employed intermittently in the Government service.

35 F.R. 6247.
83 Stat. 190.

Professional and technical personnel, appointment.
80 Stat. 378.

(c)(1) The Commission is authorized to appoint, without regard to the provisions of title 5, United States Code, covering appointments in the competitive service, such professional and technical personnel as may be necessary to enable it to carry out its function under this Act.

(2) The Commission may procure, without regard to the civil service or classification laws, temporary and intermittent services of such personnel as is necessary to the extent authorized by section 3109 of title 5, United States Code, but at rates not to exceed the rate specified at the time of such service for grade GS-18 in section 5332 of title 5, United States Code, including traveltime, and while so serving on the business of the Commission away from their homes or regular places of business they may be allowed travel expenses, including per diem in lieu of subsistence, as authorized by section 5703 of title 5, United States Code, for persons employed intermittently in the Government service.

AUTHORIZATION OF APPROPRIATIONS

SEC. 7. There are hereby authorized to be appropriated $500,000 for the fiscal year ending June 30, 1970, and $750,000 for the fiscal year ending June 30, 1971, and for each succeeding year, for the purpose of carrying out the provisions of this Act.

Approved July 20, 1970.

LEGISLATIVE HISTORY:

HOUSE REPORTS: No. 91-240 accompanying H.R. 10666 (Comm. on Education and Labor) and No. 91-1226 (Comm. of Conference).
SENATE REPORT No. 91-196 (Comm. on Labor and Public Welfare).
CONGRESSIONAL RECORD:
Vol. 115 (1969): May 23, considered and passed Senate.
Vol. 116 (1970): April 20, considered and passed House, amended, in lieu of H.R. 10666.
June 29, House agreed to conference report.
July 6 Senate agreed to conference report.

Appendix II

List of Commission Members

Andrew A. Aines, Senior Staff Associate, Office of Science Information Service, National Science Foundation, Washington, D.C. (1976)

William O. Baker, President, Bell Telephone Laboratories, Murray Hill, New Jersey (1975)

Joseph Becker, President, Becker and Hayes Division, John Wiley and Sons, Los Angeles, California (1979)

Frederick Burkhardt, President-Emeritus, American Council of Learned Societies, New York (1975)

Daniel W. Casey, Immediate Past President, American Library Trustee Association, Syracuse, New York (1978)

Harold C. Crotty, President, Brotherhood of Maintenance of Way Employes, Detroit, Michigan (1977)

Carlos A. Cuadra, General Manager, SDC Search Service, System Development Corporation, Santa Monica, California (1979)

Leslie W. Dunlap, Dean, Library Administration, The University of Iowa Libraries, Iowa City, Iowa (1975)

Martin Goland, President, Southwest Research Institute, San Antonio, Texas (1977)

Louis A. Lerner, Publisher, Lerner Home Newspapers, Chicago, Illinois (1977)

John Lorenz (Ex Officio), The Acting Librarian of Congress, U.S. Library of Congress, Washington, D.C.

Bessie Boehm Moore, Coordinator, Economic and Environmental Education, State Department of Education, Little Rock, Arkansas (1978)

Catherine D. Scott, Librarian, National Air and Space Museum, Smithsonian Institution, Washington, D.C. (1976)

Julia Li Wu, Head Librarian, Virgil Junior High School, Los Angeles, California (1978)

John E. Velde, Jr., Velde, Roelfs and Company, Pekin, Illinois (1979)

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[1] Expiration date of appointments in parenthesis.

Former Commission Members

John G. Kemeny, President, Dartmouth College, Hanover, New Hampshire (1973)

L. Quincy Mumford (Ex Officio), The Librarian of Congress, U.S. Library of Congress, Washington, D.C. (retired, 1975)

Alfred R. Zipf, Executive Vice President, Bank of America, San Francisco, California (1973)

Appendix III

List of Commission Staff

Alphonse F. Trezza
Executive Director

Douglas S. Price
Deputy Director

Mary Alice Hedge Reszetar
Associate Director

Barbara K. Cranwell
Executive Secretary

Carl C. Thompson
Administrative Assistant

Martha D. Quigley
Secretary, Special Assignments

Former Commission Staff

Charles H. Stevens
Executive Director

Roderick G. Swartz
Deputy Director

Linda R. Ulrich
Administrative Assistant

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PREPARED STATEMENT OF THE HON. HAROLD T. (BIZZ) JOHNSON

I appreciate having the opportunity to share with this Subcommittee my strong support for legislation to extend the Library Services and Construction Act. This Subcommittee has established an outstanding record in recent years for developing and improving educational programs for the young people of our nation. I commend you for this effort, because I personally feel that the young people of our nation are our most valuable resource. They will be the leaders of tomorrow's world. The education they receive today will significantly affect their ability to carry on the ideals of our country and the high tradition of achievement established by past generations.

One of the key elements in the educational process is the library. The library is a symbol of scholarship second only to the schoolhouse. The library serves not only our youth, but also other people in the community who wish to further expand their knowledge or who wish to read for enjoyment. In fact, the slogan used to observe National Library week some years ago, quite aptly describes the library as "Something for Everyone."

Although libraries basically are a local responsibility, Federal and state governments do help local cities and counties to build, maintain and operate these institutions. The Federal participation, when compared to mammoth Federal programs in other areas, is relatively small. It is provided under the provisions of the Library Services and Construction Act. This has been a continuing program, which in 1970 was broadened to include construction programs as well as basic assistance for supplies and materials.

With the existing program due to expire next year, I have sponsored legislation (H.R. 2893) to continue the Library Services and Construction Act in its present form for an additional two years. I sincerely hope that this Committee will give serious consideration to enacting this or similar legislation to extend this important Federal program.

Under the library services programs, it is estimated that nearly 30 million people received help from small amounts of Federal aid, not including some 800,000 blind people and 400,000 physically handicapped who got special assistance under the program. In Fiscal Year 1974, over $4 million was made available to California libraries. Northern California counties received $465,000 with each and every county in the First Congressional District benefitting, primarily through the Cooperative Library Systems Program.

I believe these funds have been well spent. One of the major reasons for the success of this program has been that the control of funds rests at the state and local levels, where the needs of the communities can best be determined and acted upon. I hope that this Subcommittee will demonstrate its continued confidence in this program by voting to extend the Library Services and Construction Act for at least two more years.

EXECUTIVE OFFICE OF THE PRESIDENT,
Washington, D.C., Jan. 26, 1976.

Hon. JOHN BRADEMAS,
House of Representatives,
Washington, D.C.

DEAR MR. BRADEMAS: At the Subcommittee on Select Education hearing concerning the extension of the Library Services Construction Act December 15, 1975, you asked about the Administration's plans regarding a possible White House Conference on Libraries and Information Sciences.

After careful deliberation, the Administration has decided that it will not convene a White House Conference but will rely on the National Commission on Libraries and Information Science to develop and recommend plans for library and information policy. This Commission was created to provide just such advice. Utilizing regional, State and local library and information science groups, the Commission is now completing a program which should serve as a framework for future library related activities.

The valuable role being performed by the Commission makes it unnecessary to allocate funds for the convening of a special Conference.

Sincerely,

ALAN M. KRANOWITZ,
Assistant to the Director
for Congressional Relations.

INDIANA STATE LIBRARY,
Indianapolis, Ind., December 24, 1975.

Hon. JOHN BRADEMAS,
Congress of the United States, House of Representatives, Rayburn House Office Building, Washington, D.C.

DEAR MR. BRADEMAS: Thank you for again introducing legislation to extend and strengthen the Library Services and Construction Act. What it has done for library service in Indiana is almost unbelievable. Tangible measurable results are impressive, but the changes in attitudes on the part of the library profession are most dramatic. I have been working in Indiana libraries since 1933. There was an almost apethetic attitude prevailing with little or no communication among the different types of libraries. With the advent of additional funds came an awakening and an outward thrust of services that ignored all types of barriers. Schools, universities, public libraries became compatriots in the struggle to provide information to all who need it regardless of geographical location or physical handicap. I truly believe that regardless of what funding the future holds, librarians of all persuasions in Indiana will continue to plan and work together to serve the state.

Best wishes for a happy and successful 1976 from grateful librarians.

Kindest personal regards,

(Miss) MARCELLE K. FOOTE, *Director.*

AMERICAN FOUNDATION FOR THE BLIND, INC.,
Washington, D.C., December 15, 1975.

Hon. CARL D. PERKINS,
Chairman, Education and Labor Committee, U.S. House of Representatives, Washington, D.C.

DEAR MR. CHAIRMAN: The American Foundation for the Blind wishes to express our strong support for extending the Library Services and Construction Act, particularly Title I provisions, which now cover library service to the handicapped and institutionalized individual. We hope that authorizations will be continued at present existing levels, with priority specifically designated to benefit that segment of our population "at risk"—the elderly, the very young, and the handicapped.

Sincerely,

IRVIN P. SCHLOSS,
Director, Governmental Relations Office.

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